

ARIZONA DEPARTMENT OF EDUCATION

AZ Charter School Program

Monitoring Handbook

2020-2024

A. Governance

Element 1 - The governing authority creates and monitors the strategic plan as outlined in the Logic Model.

Indicator 1.1 The governing authority demonstrates efforts to develop and monitors the strategic plan.

√	Status	Description
	Ineffective	The governing authority has not developed a strategic plan.
	Developing	The governing authority has developed a strategic plan but lacks alignment; activities and outcomes are not reasonable/realistic; resources are not clearly related to or supportive of activities. The governing authority monitors its implementation minimally.
	Effective	The governing authority has developed a strategic plan which has reasonable linkages and plausible connects for most components; outcomes are mixed; resources are not clearly related to or supportive of activities. The governing authority monitors for quality and fidelity of implementation.
	Highly Effective	The governing authority has a sustainable strategic plan in which ALL components are clearly aligned; activities and outcomes are reasonable and can be measured; resources are clearly defined and related to direct support of activities. The governing authority monitors and adjusts for quality and fidelity of implementation.
Key Questions		Artifacts Reviewed
1. Does the governing authority have a strategic plan as outlined in the Logic Model?		
2. Does the governing authority have a strategic plan in which all components are aligned?		
3. Does the governing authority have a strategic plan in which activities and outcomes are reasonable and can be measured?		
4. Does the governing authority have a strategic plan in which resources are clearly defined and related to direct support of activities?		
5. Does the governing authority have a process to monitor and adjust for quality and fidelity of implementation?		

Sample artifacts to be reviewed:

- Strategic Plan
- Strategic Plan review process
- Monitoring reports

Indicator 1.2 – The governing authority demonstrates efforts to develop an organizational structure.		
√	Status	Description
	Ineffective	The governing authority has not developed an organizational structure.
	Developing	The governing authority has developed an organizational structure but lacks clarity.
	Effective	The governing authority has developed an organizational structure. The reporting structure within the organization ensures the decisions and actions in accordance with defined roles and responsibilities of the governing body.
	Highly Effective	The governing authority has developed an organizational structure. The reporting structure within the organization ensures the decisions and actions in accordance with defined roles and responsibilities of the governing body. The succession plan and organizational structure are consistent within the organization.
Key Questions		Artifacts Reviewed
1. Does the governing authority have a comprehensive set of bylaws?		
2. Is there a job description for the governing authority as a whole and for each officer position?		
3. Has the governing authority developed a reporting structure?		
4. Does the governing authority consistently adhere to its reporting structure?		

Sample artifacts to be reviewed:

- Bylaws; Organizational structure chart
- Job description for the governing authority and officer positions
- Succession plan
- Policy review process
- Governing authority meeting agendas and minutes; reporting structure

Indicator 1.3 – The governing authority demonstrates efforts to recruit, select, and hire quality leaders.		
√	Status	Description
	Ineffective	The governing authority has not yet developed strategies and criteria to recruit, select, and hire qualified leaders.
	Developing	The governing authority has developed strategies and criteria but inadequate to recruit, select, and hire qualified leaders.

	Effective	The governing authority has developed a system with strategies and criteria to recruit, select, and hire qualified leaders.
	Highly Effective	The governing authority has developed a comprehensive system to recruit, select, and hire qualified leaders to implement adopted curriculum and instructional practices effectively.
Key Questions		Artifacts Reviewed
1. Does the governing authority have an annual recruitment plan for qualified educators?		
2. Does the governing authority have a clearly specified set of criteria to select qualified educators?		
3. Does the governing authority have a codified HR process to hire qualified educators?		

Sample artifacts to be reviewed:

- Recruitment plan
- Interview questionnaire and selection criteria

Indicator 1.4 – The governing authority demonstrates efforts to maintain the succession plan for governing board members and key school leadership to sustain the school’s mission.		
√	Status	Description
	Ineffective	The governing authority has not developed a succession plan for board members and key school leaders.
	Developing	The governing authority has developed a succession plan for board members and key school leaders but lacks sustainability.
	Effective	The governing authority has a sound succession plan for governing board members and key school leaders who are advocates for the school’s mission and improvement efforts.
	Highly Effective	The governing authority has a sound succession plan for governing board members and key school leaders who are advocates for the school’s mission and improvement efforts. The plan provides opportunities for professional growth for leaders to sustain the school’s mission.
Key Questions		Artifacts Reviewed
1. Does the membership of the board represent the broad cross-section of skills (finance, legal, academic, governance, and facilities) to govern effectively?		
2. Does the governing authority have a sound recruitment plan for its membership?		

3. Does the governing authority have a formal and transparent process for nominating and selecting new members?	
4. Does the governing authority consistently adhere to its formal nominating and selection process?	
5. Has the governing authority developed a formal assessment process to determine whether a candidate has the skill set, necessary time, philosophical alignment with the school, and temperament to serve as a member?	
6. Do the governing board members receive comprehensive training to help them be more effective?	

Sample artifacts to be reviewed:

- Résumé or biographies of board members
- Policies and procedures for nominating and selecting members; member recruit plan
- Minutes from meetings documenting adherence to the nominating and selection process
- Standard list of interview questions asked of all candidates
- Numerical score sheet for evaluating candidates
- Governing authority training plan

A. Governance		
Element 2- Regulatory Compliance		
Indicator 2.1 - The grant recipient meets the federal definition of the term “charter school.”		
Criteria	Status	Artifacts Reviewed
1. The school has an approved charter contract from its state approved authorizer. Date contract signed: _____	Met	
	Not Met	
	N/A	
2. The authorizer of the awarded schools shall make available to the public its authorization policies which include a financial, academic, and operational performance framework and polices for reauthorizing its schools primarily based on student achievement toward state mandated goals and assessments.	Met	
	Not Met	
	N/A	

3. The school makes available to the public its annual State report card, information on the educational program, student support services, parent contract requirement (if application), financial obligations or fees, enrollment criteria (as applicable), annual performance and enrollment data for each of the subgroups of students.	Met	
	Not Met	
	N/A	
4. The school has complied with the State's open meetings and open records laws. ESEA Title IV, Part C, Sec.4303(f)(1)(F).	Met	
	Not Met	
	N/A	
5. The school application clearly states that the charter school is a tuition free public school and meets the federal definition of a charter school ESEA §4310(2). A) in accordance with a specific State statute authorizing the granting of charters to schools, is exempt from significant State or local rules that inhibit the flexible operation and management of public schools, but not from any rules relating to the other requirements of this paragraph; (B) is created by a developer as a public school, or is adapted by a developer from an existing public school, and is operated under public supervision and direction; (C) operates in pursuit of a specific set of educational objectives determined by the school's developer and agreed to by the authorized public chartering agency; (D) provides a program of elementary or secondary education, or both; (E) is nonsectarian in its programs, admissions policies, employment practices, and all other operations, and is not affiliated with a sectarian school or religious institution; (F) does not charge tuition;	Met	
	Not Met	
	N/A	

<p>(G) complies with the Age Discrimination Act of 1975, title VI of the Civil Rights Act of 1964, title IX of the Education Amendments of 1972, section 504 of the Rehabilitation Act of 1973, and part B of the Individuals with Disabilities Education Act;</p> <p>(H) is a school to which parents choose to send their children, and that admits students on the basis of a lottery, if more students apply for admission than can be accommodated;</p> <p>(I) agrees to comply with the same Federal and State audit requirements as do other elementary schools and secondary schools in the State, unless such requirements are specifically waived for the purpose of this program;</p> <p>(J) meets all applicable Federal, State, and local health and safety requirements;</p> <p>(K) operates in accordance with State law; and</p> <p>(L) has a written performance contract with the authorized public chartering agency in the State that includes a description of how student performance will be measured in charter schools pursuant to State assessments that are required of other schools and pursuant to any other assessments mutually agreeable to the authorized public chartering agency and the charter school.</p> <p>(M) may serve students in early childhood education programs or postsecondary students.</p>		
<p>6. The school has a policy for student record transfer. ESEA Title IV, Part C, Sec. 4308.</p>	<p>Met</p> <p>Not Met</p> <p>N/A</p>	
<p>7. The school's governing body shall have written Conflict of Interest policies</p>	<p>Met</p> <p>Not Met</p>	

that conform to 2 CFR § 200.112	N/A	
8. The school has a high degree of autonomy over budget and operations, including autonomy over personnel decisions. ESEA 4303(f)(2)(A).	Met	
	Not Met	
	N/A	
9. The charter school complies with the Age Discrimination Act of 1975, Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, section 504 of the Rehabilitation Act of 1973, and Part B of the IDEA.	Met	
	Not Met	
	N/A	
10. The charter school has created a communication network with parents and community and avenues for parent involvement in the life of the school.	Met	
	Not Met	
	N/A	

Sample artifacts to be reviewed:

- Approved charter contract
- School application
- Lottery policy
- School policy manual

B. Academic Program		
The school ensures strong academic outcomes for all students.		
Indicator 1.1 – The school has an articulated curriculum aligned with the school’s purpose and Arizona Standards.		
√	Status	Description
	Ineffective	The school has not developed a system to create, implement, evaluate, and revise school curriculum including supplemental curriculum based on clearly defined and measurable expectations for student learning.
	Developing	The school has developed a system to create, implement, evaluate, and revise school curriculum including supplemental curriculum. The system lacks cohesiveness or alignment with school’s purpose.
	Effective	The school has developed a system to create, implement, evaluate, and revise school curriculum including supplemental curriculum based on clearly defined and measurable expectations for student learning. The system demonstrates evidence of alignment between the curriculum and the school’s purpose with systematic implementation across the school.
	Highly Effective	The school has developed a system to create, implement, evaluate, and revise school curriculum including supplemental curriculum based on clearly defined and measurable expectations for student learning. The system demonstrates a formalized process of alignment with the curriculum and the school’s purpose with systematic and sustainable implementation across the school.

Key Questions	Artifacts Reviewed
1. Is the curriculum aligned with Arizona Standards?	
2. Do the curriculum materials provide a scope and sequence for instruction throughout the year?	
3. Are teachers' lesson plans aligned to Arizona Standards, school curriculum, pacing, and the essential learning outcomes?	
4. Does the school evaluate the effectiveness, timeliness, and fairness of the curriculum?	
5. Is there a process in place to review and revise curriculum materials based on student progress?	

Sample artifacts to be reviewed:

- Curriculum map; course of study
- Teacher lesson plans
- Class observation records
- Instructional materials and supplementary materials utilized by teachers
- Curriculum review report
- Revised curriculum materials

Indicator 1.2 – The school has an instructional design system that is aligned with the school’s purpose and curriculum (aligned with Arizona Standards).		
√	Status	Description
	Ineffective	The school has not yet developed a system to design, implement, evaluate, and adjust instructional methodology which is proven, research-based, and reflective of best practices.
	Developing	The school has developed a system to design, implement, evaluate, and adjust instructional methodology which is proven, research-based, and reflective of best practices. The system lacks alignment with the curriculum and school’s purpose.
	Effective	The school has developed a system to design, implement, evaluate, and adjust instructional methodology which is evidence-based, and reflective of best practices. The system demonstrates evidence of alignment with the curriculum and the school’s purpose with systematic implementation across the school.
	Highly Effective	The school has developed a system to design, implement, evaluate, and adjust instructional methodology which is proven, evidence-based, and reflective of best practices. The system demonstrates a formalized process of alignment with the curriculum and the school’s purpose with systematic and sustainable implementation across the school.
Key Questions		Artifacts Reviewed

1. Has the school adopted evidence-based instructional methodologies, as described in the CSP application, aligned with the curriculum to increase student achievement?	
2. Do teachers' lesson plans reflect adopted instructional methodologies?	
3. Do teachers within a grade level or content area implement adopted instructional methodologies?	
4. Is there a process in place to evaluate and improve instructional methodologies based on student progress?	
5. Does the school have a formalized process to engage staff in collaborative learning communities to improve instruction and student learning?	

Sample artifacts to be reviewed:

- Instructional strategies identified by grade level and content area
- Instructional materials and supplementary materials utilized by teachers
- Lesson plans
- Evidence that teachers are utilizing expected instructional strategies
- Evidence that teachers are working collaboratively to identify learning outcomes
- Evidence that improvements were made to content and instructional strategies

Indicator 1.3 – The school has a balanced assessment system that is aligned with the curriculum (aligned with Arizona Standards) and instructional methodology.		
√	Status	Description
	Ineffective	The school has not developed a balanced assessment system based on defined performance measures.
	Developing	The school has developed a balanced assessment system based on defined performance measures. The system is not balanced and is not aligned with the curriculum and instructional practices.
	Effective	The school has developed a balanced assessment system based on defined performance measures. The system demonstrates evidence of alignment with the curriculum and instructional practices.
	Highly Effective	The school has developed a balanced assessment system based on defined performance measures aligned with the curriculum and instructional methodology. The system demonstrates a process to yield reliable, valid, and bias free information to assess student performance; to conduct a systematic analysis of instructional effectiveness; to adjust curriculum and instruction in response to data.
Key Questions		Artifacts Reviewed

1. Has the school developed and implemented a balanced assessment system which is aligned with its curriculum and instructional methodology?	
2. Does the system provide reliable and valid evidence of student learning for teachers and administrators to monitor academic progress in the classroom?	
3. Is there a system in place to collect, analyze and report student performance data at grade and school level?	
4. Do teachers and administrators utilize collected data to evaluate student learning and instructional effectiveness?	
5. Do teachers and administrators utilize school-wide trend data to determine the problem of practice?	
6. Are teachers and administrators regularly engaged in professional development programs which address the problem of practice?	
7. Does the school leadership team use multiple objective metrics to determine school success (i.e. assessment results, graduation rates, student retention rates, survey, etc.)?	

Sample artifacts to be reviewed:

- Teacher developed, benchmark, formative, summative assessments
- Documentation or description of evaluation protocols
- Variety of assessment reports
- Evidence of data analysis
- Evidence of instructional strategy planning based on data analysis
- Agenda and meeting minutes with teachers and staff addressing data analysis, use of student achievement data to monitor student progress
- Professional development calendar and agendas by topic; tools to assess PD effectiveness

Indicator 1.4 – The school leadership team demonstrates efforts to monitor instructional practices, provide feedback, and make available opportunities for professional development.		
√	Status	Description
	Ineffective	The school leadership team has not developed a system to monitor and evaluate instructional practices.
	Developing	The school leadership team has developed inadequate system to monitor and evaluate instructional practices that provides neither analysis nor feedback to further design professional development.

	Effective	The school leadership team has developed a system to monitor and evaluate instructional practices. The system provides analysis and feedback to further design professional development.
	Highly Effective	The school leadership team has developed a comprehensive system to monitor and evaluate instructional practices. The system provides for data analysis and feedback which create multiple opportunities for professional development.
Key Questions		Artifacts Reviewed
1. Has the school leader provided sufficient daily instructional time to support student learning and ample time to support teacher in planning, collaboration, and reflection?		
2. Are teachers given access to sufficient instructional resources?		
3. Does the leader regularly evaluate the effectiveness of teaching staff?		
4. Has the school leader provided sufficient resources and learning opportunities for teaching staff to improve effectiveness?		
5. Has the school leader established a uniform code of conduct throughout the school that supports quality teaching and learning?		
6. Has the school leader developed a written professional development plan for instructional improvement based on multiple sources of data?		

Sample artifacts to be reviewed:

- School daily, weekly, yearly schedule
- Instructional resources available for teachers
- Teacher evaluation instruments and process
- Record of internal and external professional learning opportunities
- School wide instructional improvement plan
- Professional development plan

C. Operation

Indicator 1.1 Internal Controls – The school has established and maintains internal controls that provide reasonable assurance that they are managing the grant in compliance with laws, terms & conditions.

Criteria	Status	Artifacts Reviewed
1. School has a clearly organized system for maintaining receipts/invoices for all purchases made with AZ CSP funds, which denote Planning and Implementation expenses.	Met	
	Not Met	
	N/A	
2. Clearly identifiable receipts can be matched to the approved AZ CSP grant budget for any selected items.	Met	
	Not Met	
	N/A	
3. All items/services purchased with AZ CSP funds are allowable.	Met	
	Not Met	
	N/A	
4. School stores receipts and financial records in a manner that minimizes the possibility of destruction (locked, fireproof storage, regular off-site backups of electronic records).	Met	
	Not Met	
	N/A	

Sample artifacts to be reviewed

- Documentation of all purchases and receipts using AZ CSP funds
- School financial policy/manual

Indicator 1.2 Risk Management - The school segregates among staff or directors various financial duties to minimize the risk of fraud or misuse of funds.

Criteria	Status	Artifacts Reviewed
1. Approved policies specify segregation of financial duties by position/person responsible.	Met	N/A
	Not Met	
	N/A	
2. Access to Petty Cash guidelines and allowable uses are included in school's financial policies.	Met	N/A
	Not Met	
	N/A	

Sample artifacts to be reviewed:

- Evidence of strong financial controls

- Internal financial controls
- Segregation of duties
- Independent audit findings

Indicator 1.3 School has written procedures for expending state and federal funds in their budget categories approved annually by the Governing Body.		
Criteria	Status	Artifacts Reviewed
1. Salaries and Benefits 2. Time and Effort 3. Travel 4. Equipment and Supplies 5. Conflict of Interest/Related Party Transactions	Met	
	Not Met	
	N/A	

Sample artifacts to be reviewed:

- Policy Documents
- Evidence in board meeting agendas and minutes that financial reports have been submitted for review/approval

Indicator 1.4 School submits independent annual audits of financial statements to the authorizer prepared in accordance with generally accepted accounting principles and ensure that any such audits are publicly reported. ESEA 4303(f)(2)(E)(ii)		
Criteria	Status	Artifacts Reviewed
1. Independent annual audit reports	Met	
	Not Met	
	N/A	

Sample artifacts to be reviewed:

Independent annual audit reports

Indicator 1.5 Financial statements provided to governing body on a regular basis – The school administration provides timely financial reports to its Governing Body for review and approval.		
Criteria	Status	Artifacts Reviewed
1. School submits and Governing Body reviews and approves financial statements as documented in board agendas and minutes.	Met	
	Not Met	
	N/A	
2. Governing Body meeting minutes document discussions demonstrating fiduciary oversight of school.	Met	
	Not Met	
	N/A	

Sample artifacts to be reviewed:

- Financial reports
- Evidence in board meeting agendas and minutes that financial reports have been submitted for review/approval
- Documentation in minutes of financial oversight by the board
- Financial policy discussions, review of financial statements, development/review/revisions/approval of school budget, purchases, etc.
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Indicator 1.6 Inventory - The school has implemented an inventory control procedure that ensures items purchased with AZCSP funds are identified, marked, and accounted for on a regular basis.		
Criteria	Status	Artifacts Reviewed
1. The school has an inventory control system for high-cost items that meets the requirements of federal Uniform Guidance.	Met	
	Not Met	
	N/A	
2. A physical inventory of equipment must be taken and the results reconciled with the equipment records at least once every two years. Any differences between quantities determined by the physical inspection and those shown in the accounting records must be investigated to determine the causes of the difference. The recipient shall, in connection with the inventory, verify the existence, current utilization, and continued need for the equipment. Most recent inventory date _____	Met	
	Not Met	
	N/A	
3. All AZ CSP purchases are clearly identified and included in the inventory report.	Met	
	Not Met	
	N/A	
4. School's Inventory Report shall list a description of the equipment, the unit acquisition cost, the manufacturer's serial number, model number or other identification number, location and condition of the equipment and the date the information	Met	
	Not Met	
	N/A	

was reported.		
5. Capital outlay purchases (items or equipment purchased with AZ CSP funds) are identified with unique code and school name.	Met	
	Not Met	
	N/A	
6. School loans do not use capital outlay items purchased by AZ CSP as collateral.	Met	
	Not Met	
	N/A	
7. Ultimate disposition data, including date of disposal and sales price or the method used to determine current fair market value where a recipient compensates ED for its share.	Met	
	Not Met	
	N/A	

Sample artifacts to be reviewed

- Inventory report
- Policies