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# Compliance Monitoring

Florida Authorizer Bootcamp

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## Agenda

- **Monitoring Academic Performance**
- **Monitoring Financial Performance**
- **Monitoring Operational Performance**
- **ELL Compliance Monitoring**
- **Special Education/ESE Compliance Monitoring**
- **Tools and Resources**



# Bootcamp Overview

Review Process

Contract Negotiation  
and Finalization

Annual Report and  
Site Visits

1

2

3

4

5

6

7

Application Stage

Decision Making

Ongoing Monitoring

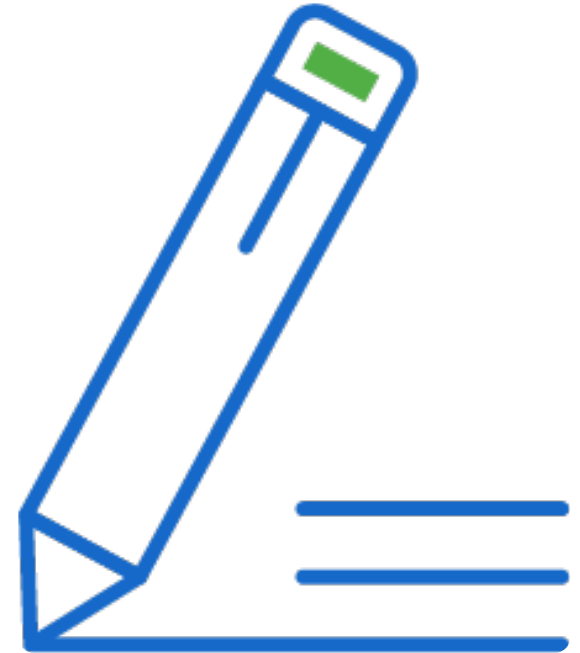
Renewal Process

★ *You are here*

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## Objectives

- **Authorizers will become familiar with compliance topics sponsors are required to monitor.**
- **Authorizers will begin to understand when and how these topics are typically monitored by sponsors in Florida.**



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## Terms and Acronyms

- CARES Act – The Coronavirus Aid, Relief, and Economic Security Act
- Charter Schools Program Grant –
- ECI Programs – Early Childhood Intervention
- ELL – English Language Learner
- ESE – Exceptional Student Education
- ESOL – English for Speakers of Other Languages
- FEFP – Florida Education Finance Program
- IDEA – the Individuals with Disabilities Education Act
- IEP – an Individual Education Plan
- LRE – the Least Restrictive Environment
- FAPE – Free and Appropriate Education
- SpEd – Special Education



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## Discussion: Why monitor?

- Why do authorizers need to monitor schools they sponsor?
- How does a strong monitoring plan benefit both the authorizer and the school?



# Why monitor?



**Building Relationships**



**Prioritizing Student  
Performance**



**Financial and Operational  
Performance**

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# FDOE Academic Accountability System

## Accountability System Overview

- School Letter Grade
  - "D" or "F" letter grade: school to appear before sponsor and submit school improvement plan
  - Three consecutive grades below a "C": corrective action and school improvement plan required
  - Two consecutive "F" grades: contract terminated
- Letter grades monitored annually by FDOE



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# Monitoring Academic Performance

## Statutory Requirements

- F.S. § 1002.33(2): Guiding Principles; Purpose
- F. S. § 1002.33(5): Sponsor Duties
  - Monitor and review the charter’s progress toward the goals established in the charter
- F. S. § 1002.33(8): Causes for Nonrenewal
  - The sponsor shall make academic achievement for all students the most important factor
- Florida Standard Contract: Section 2 – Academic Accountability
  - The annual objectives must include goals around growth and proficiency on state assessments

## Timeline

- Annual Academic Review
  - Year 1: By October 15 of the first year, the school provides achievement goals
  - Year 2: By October 15 of the second year, the school provides achievement goals for the remaining years
  - Ongoing: Annually, the school reports its performance against the academic goals

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## Quick Review: Academic Performance

### Scenario 1:

ABC Academy received a letter grade of “C” in 2017 and letter grade of “C” in 2018. Do they need a school improvement plan?

### Scenario 2:

XYZ Preparatory School received a letter grade of “F” in 2017, a letter grade of “C” in 2018, and a letter grade of “F” in 2019. Is their contract automatically terminated?

### Scenario 3:

Apple Charter School received a “D” letter grade in 2017, a “D” letter grade in 2018, and a “D” letter grade in 2019. What are the next steps for the sponsor?

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# Monitoring Financial Performance (1)

## Statutory Requirements

- F. S. § 1002.33(5): Sponsor Duties
  - A. Monitor the revenues and expenditures of the charter school
  - F. Ensure the charter school participates in the state's education accountability system
- F.S. § 1002.33(9) and Rule 6A-1.0081
  - School will submit a monthly or quarterly report to the sponsor
  - School will complete annual audit and provide copy to sponsor
- G.3.iv, Annual Audit: Sponsor reserves right to perform additional audits
- Florida Standard Contract: Section 4, Financial Accountability

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## Monitoring Financial Performance (2)

### Areas to Monitor

- FEFP for school year, fund balance, annual revenues, expenditures, financial deteriorating condition, financial corrective action
- Audited finances (year-end fund balance)

### Suggested Timeline

- Monthly reports required to be submitted to sponsor (quarterly for high performing schools)
- Monitored in detail during renewal process

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## Quick Review: Financial Performance

### Scenario:

A school in your portfolio does not submit a monthly quarterly report in August, September, or October of their first year of operation. What might your next steps be?

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# Monitoring Financial Performance: Grants

## Common Federal Grants to Florida Charter Schools

- Florida Standard Contract: Section 4, Part B & C, Federal Funds and Grants
- Charter School Programs Grant (CSP)
  - FDOE is a 2020 grantee
  - \$78 million for subgrants to charter schools in Florida
- COVID Funding
  - CARES Act Funding; Elementary and Secondary School Emergency Relief Fund (ESSER); Governor's Emergency Education Relief Fund; Emergency support to LEAS

## Areas to Monitor

- Individuals in your finance or accounting department will likely take the lead on grant funding
- Maintain communication to know when a charter school may be out of compliance or need support

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# Monitoring Operational Performance

## Areas to Monitor

- Enrollment
  - Subgroups: economically disadvantaged students, students with disabilities, ELLs, gifted
  - Race and ethnicity, gender
  - FTE Projections for upcoming years
- Governance: board members, meeting schedule, board action taken
- Discipline and School Safety
  - Student code of conduct – only district can expel a student
  - Monthly report to sponsor – number of violations of code by offense
  - IDEA discipline for students with disabilities
- Human Resources and Staffing
  - Staff turnover, certification, fingerprinting

## Suggested Timeline

- Part of Annual Report
- Monitored In Detail During Renewal Process

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## Quick Review: Operational Performance

### Discussion Question:

What tools or resources might you use to monitor the enrollment of students with disabilities or English learners of a school in your portfolio? Is there a “right” enrollment percentage you should hold schools accountable to?



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# Monitoring Other Compliance Topics

## Financial Reporting

- Monthly reports due to sponsor (unless high-performing)

## Facilities

- Facility floor plan and emergency routes
- Drills, building capacity, fire and health permits/annual inspections

## Health and Safety

- Mental health plans and staff
- Crisis management plan
- MSD requirements
- Fire inspection
- Building/health/food services inspections

## Other Topics

- Bell schedule – instructional minutes required to be met through class schedule
- Bus transportation
- Insurance information



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# ELL Compliance Monitoring (1)

## Statutory Requirements

- F. S. § 1002.33(10): Eligible Students
  - Students with disabilities and students served in English for Speakers of Other Languages programs shall have an equal opportunity of being selected for enrollment
- F. S. § 1003.56: English Language Instruction for Limited English Proficient Students
- Consent Decree
  - Castañeda v. Pickard, 1981
    - Programs for ELL students must be:
      - (1) based on a sound educational theory
      - (2) implemented effectively with sufficient resources and personnel, and
      - (3) evaluated to determine whether they are effective in helping students overcome language barriers.

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## ELL Compliance Monitoring (2)

### Areas to Monitor

- Assessment: identification, placement, progress monitoring, exit, and post-exit monitoring
- Instructional programs, practices, and strategies
- Staffing for ELL program
- Communication with parents/families of ELLs

### Suggested Timeline

- Suggested to monitor through annual report
- Monitored in detail during renewal process

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# Exceptional Student Education/ Special Education Compliance Monitoring

## Statutory Requirements

- F. S. § 1002.33(10): Eligible Students
  - Students with disabilities and students served in English for Speakers of Other Languages programs shall have an equal opportunity of being selected for enrollment
- Federal Law – IDEA 300 & FL § 6A-6.0331
  - Child Find/Identification
  - IEP – School responsible to develop IEP, review at least annually, and update record properly
  - FAPE – Identified by IEP team to meet child’s needs at no cost to parent
  - LRE – SWD educated with non-disabled peers to the maximum extent appropriate

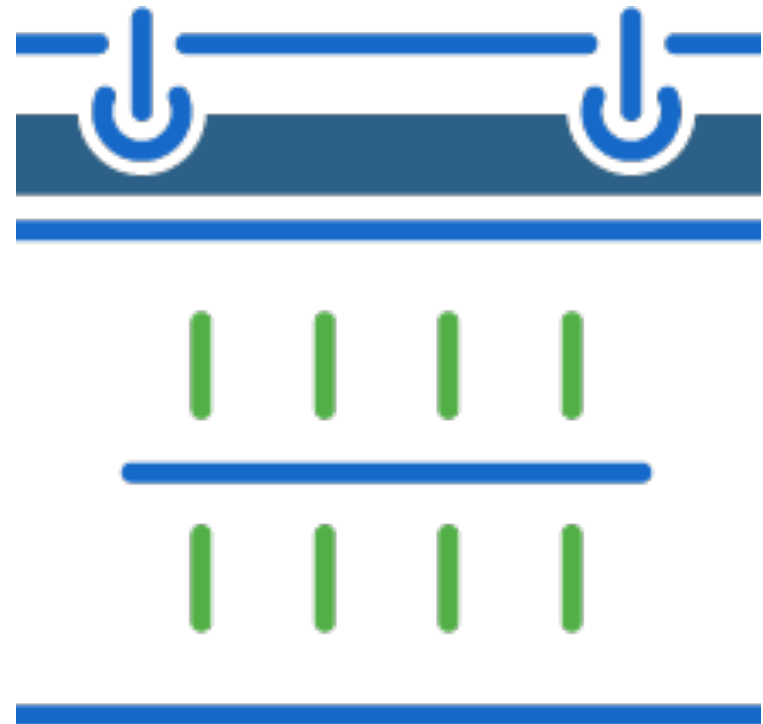
## Suggested Timeline

- Suggested to monitor through annual report
- Monitored in detail during renewal process

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## When does monitoring take place?

- **Monthly Monitoring**
- **Site Visits**
- **Annual Report**
- **High Stakes Review**
- **Renewal Process**
  - Required in statute to monitor charter contract at end of term (five years initially)



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## What tools are used to monitor schools?

### Pre-Opening Checklist

### FACSA Annual Report

- Bootcamp session coming up on this topic

### Site Visit Resources

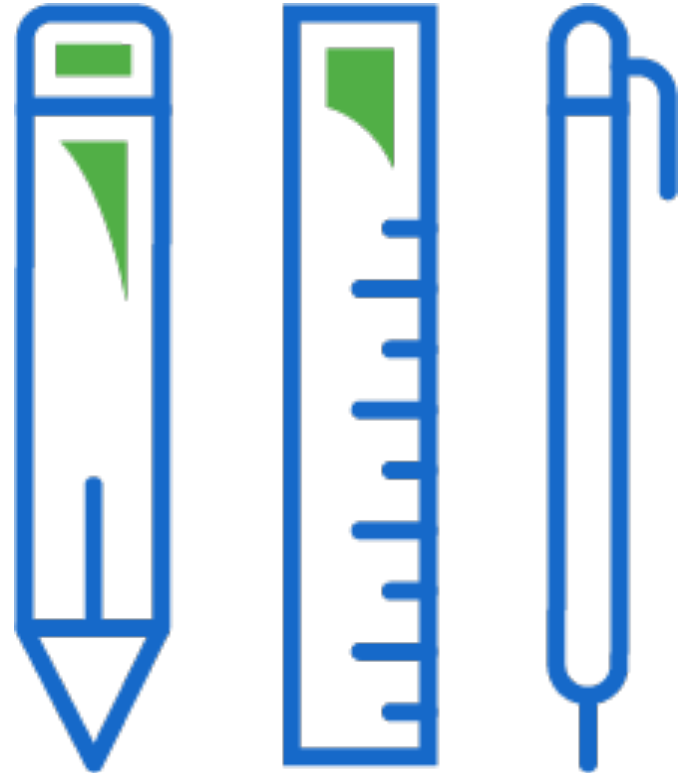
- Bootcamp session coming up on this topic

### Renewal Package

- Bootcamp session coming up on this topic

### Monitoring Checklists and Tools

### School Accountability Reports



## Activity: Monitoring Checklist

Topic of Compliance	Compliance Indicator	Source to pull from
Academic	Does the school require a school improvement plan?	
Financial	Does the school's current enrollment support its expenditures?	
Operational	Is the school holding board meetings that are open to the public?	
ELL	Does the school implement a process for identification and placement of English language learners?	
Special Education	Does the school give students with disabilities an equal opportunity to enroll?	

## Activity: Monitoring Checklist Sources

Topic of Compliance	Compliance Indicator	Source to pull from
Academic	Does the school require a school improvement plan?	FDOE letter grade
Financial	Does the school's current enrollment support its expenditures?	School monthly or quarterly financial report
Operational	Is the school holding board meetings that are open to the public?	Board meeting minutes posted on school website
ELL	Does the school implement a process for identification and placement of English language learners?	Site visit; document review
Special Education	Does the school give students with disabilities an equal opportunity to enroll?	Annual report; renewal process



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**Questions?  
Reactions?  
Ideas?**





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**BREAK**

**See you in 15 minutes!**