



Guide to the Five-Year Interval Review Process

Arizona State Board for Charter Schools

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I. INTRODUCTION

The Guide to the Five-Year Interval Review Process provides guidance for charter holders that are undergoing a Five-Year Interval Review pursuant to Arizona Revised Statutes (“A.R.S.”) § 15-183(I)(3) and Arizona Administrative Code (“A.A.C.”) 7-5-506.

This document includes:

- An overview of the Five-Year Interval Review process and the timeframes involved;
- Requirements for the preparation and submission of the required documents;
- Information regarding a self-check for compliance; and
- An overview of the Academic Systems Review (“ASR”).

II. OVERVIEW OF THE FIVE-YEAR INTERVAL REVIEW PROCESS

A charter holder will be notified via email about the scheduled five-year interval review. The email notification will outline the submission requirements, and, if applicable, deadlines for the submission of required information. Requirements will vary based upon the performance record of the charter holder and its schools in relation to the expectations set by the Board.

Interval Review Stages and Timeframes

The major stages of the Five-Year Interval Review process are summarized below:

| | |
|--|---|
| Official Notification (Early August) | The charter holder receives an email notification including submission requirements and deadlines for the submission of required information. |
| Site Visit Dates (Mid August) | The charter holder submits a list of dates that are not conducive to an ASR site visit. |
| Required Submission (Identified in notification) | If applicable, the charter holder must submit, via ASBCS Online, its required information on or before the deadline date provided in the official notification. |
| Review of Submission(s) | Upon submission, Board staff will evaluate the required information. |
| Site Visit (September-April) | An unannounced ASR site visit is conducted within a specified two-week time frame. |
| Final Report (Within 10 business days of the visit) | Board staff will provide the charter holder a report with the findings of the visit and identify any operational noncompliance issues that must be corrected. |
| Follow-Up (Within 30 days of final report) | The final report will include any operational noncompliance issues that were identified during the Interval Review process, as well as instructions for how these issues can be rectified and the deadline(s) by which to bring these issues into compliance. |

Performance Frameworks

The Board has adopted three frameworks integral to the review, and each is available on the Board’s website using the links below:

| Framework | General Overview | Required Submission |
|--|---|--|
| Academic Performance Framework and Guidance | Communicates the Board’s academic expectations for ensuring that charter holders are providing a learning environment where measurable improvement in pupil achievement can be demonstrated. | None |
| Financial Performance Framework and Guidance | Communicates the Board’s Financial Performance Expectations for ensuring that charter holders are viable organizations with strong fiscal management practices. This document also outlines requirements for submitting a Financial Performance Response. | For a charter holder that does not meet the expectations, a Financial Performance Response is required. |
| Operational Performance Framework and Guidance | Communicates the Board’s compliance related expectations related to state and federal law, the charter contract, and administrative review. This document specifies the areas in which operational performance is monitored. | For a charter holder that is out of compliance, or has operational noncompliance issues, amendment requests and/or other filings are required. |
| If a charter holder is required to submit information, Board staff will evaluate the submitted materials and notify the charter representative of the results of the evaluations and any next steps. | | |

III. PREPARING FINANCIAL AND OPERATIONAL SUBMISSIONS

If a charter holder has a required financial or operational submission, it will be notified in the official notification. These instructions must be followed carefully to ensure accurate and timely submissions.

A. Financial Performance

A charter holder that does not meet the Board’s Financial Performance Expectations is required to submit a Financial Performance Response as part of its interval review.

A dashboard representation of the charter holder’s financial performance, based upon the indicators and measures adopted by the Board, is available through ASBCS Online. Instructions for accessing the financial dashboard are as follows:

- Go to <https://online.asbcs.az.gov>
- Under the “Search” option, select “Charter Holders”
- Enter part or all of the Charter Holder name and click “Search”
- Select the applicable Charter Holder from the search results
- Select the “Performance” tab

Guidance regarding the Financial Performance Response and the criteria Board staff will use to evaluate the response can be found in Appendix C of the Board's [Financial Performance Framework and Guidance](#). Charter holders that are required to submit a Financial Performance Response are encouraged to review this document to understand how to prepare the information for submission.

NOTE: *All responses will be available for public review. If references will be made to or include any sensitive information (e.g., bank account numbers), redact that information prior to submitting the response to the Board.*

B. Operational Performance

Prior to the official notification, a compliance check is conducted per the Board's policy by staff to determine if the charter holder is in compliance with certain contractual and statutory requirements. If the compliance check identifies any operational noncompliance issues, the charter holder is required to submit additional information as part of its interval review. Any issues identified during the Five-Year Interval Review or ASR site visit will be recorded on the charter holder's operational dashboard.

When conducting a compliance check, Board staff reviews the charter holder's:

- Operational dashboard for the most recent completed fiscal year and current evaluated year;
- Status with the Arizona Corporation Commission ("ACC"); and
- Alignment between the Charter Holder's corporate board principals on ASBCS Online and ACC.

Failure to submit timely may result in the charter holder being placed on a subsequent Board meeting agenda for possible disciplinary action pursuant to A.A.C. R7-5-506(E).

IV. SUBMITTING REQUIRED INFORMATION FOR REVIEW

Once the required financial and/or operational information for review is complete and ready for submission, the charter representative uploads the documentation to ASBCS Online. **All required information for the review must be submitted by 11:59 p.m. on the deadline date identified in the official notification.**

To submit required information that is not a component of an amendment:

1. Log in to your ASBCS Online account using the **Charter Representative's** user name (email address) and password. <https://online.asbcs.az.gov/>
2. Once logged into the system, you will be taken to the Dashboard.
3. On the Dashboard, click on "Charter Holder."
4. On the light gray toolbar that will appear below the Charter Holder menu, Click "Uploads."
5. The "Upload Documents" section will contain a link named "Financial or Operational Interval Review Documents."
6. Click on the link and upload Select the "Upload" button to complete the upload process.
7. Select "Add Another Document" to create an upload link for an additional document. Repeat as needed to upload all the required documents.
8. Upload only the required documents.

V. ENSURING COMPLIANCE PRIOR TO THE SITE VISIT

As part of the Five-Year Interval Review process, the charter holder is provided the opportunity to ensure its compliance with certain contractual terms that can be amended before staff conducts the ASR site visit. If a charter holder does not ensure compliance in each of these areas prior to the ASR site visit and Board staff identifies operational noncompliance issues, those issues will be reflected in the charter holder's operational dashboard.

In order to determine whether any amendment requests or other filings are required to ensure compliance with these contractual terms, the charter holder should review all contractual terms using the information on file with the Board. To view the information currently on file with the Board:

1. Log in to your ASBCS online account using the Charter Representative's user name (email address) and password. <https://online.asbcs.az.gov/>
2. Once logged into the system, you will be taken to the Dashboard.
3. On the Dashboard, choose the Charter Holder's section or tab and click on Charter Holder Name.
4. On the Dashboard, select "Detailed Information" under the "Charter Holder" heading.

The charter holder should review and confirm that information for the following items is accurate:

Charter Representatives

The charter representative is an individual with the power to bind the charter holder contractually according to the charter holder's Articles of Incorporation, operating agreement, or by-laws, and is the point of contact for the Board for the purposes of communication and accountability to charter terms and conditions. The charter holder is out of compliance with the charter contract if the charter representative(s) identified in the contract is/are not current.

To review the charter representatives currently on file with the Board, select the "Representatives" tab. The charter representatives and their contact information are listed.

Should the charter holder wish to add or delete a charter representative, it must submit a Charter Representative Amendment Request through ASBCS Online.

Board Members (Charter Holder Governance)

The board members are the **officers, directors, members, and partners** of the entity that holds the charter. These must be the same individuals who are identified through filings with the ACC. A charter holder is out of compliance with the charter contract if the corporate board members (or charter principals) identified in the contract are not current and/or do not align with the corporate board members identified with the ACC. To check the organizational membership on file with the Board:

1. While logged into the system, on the Dashboard, choose the Charter Holder's section or tab and click on Charter Holder Name.
2. Select the "Board" tab on the tool bar.
3. Make note of the officers, directors, members or partners listed.

To check the organizational membership on file with the ACC:

1. Go to the [Arizona Corporation Commission website](#)
2. In the "Search for an Entity Name" box at the top of the page, type the Charter Holder name.
3. Select the Charter Holder from the list.
4. Make note of the officers, directors, members or partners listed.

If the officers, directors, members or partners reflected on ASBCS Online do not match the current members on file with the ACC, the charter holder must either:

1. File the appropriate amendment request through the amendment process, or
2. Make the appropriate filing with the ACC, or
3. Both file the appropriate amendment request through the amendment process and make the appropriate filing with the ACC.

Should the charter holder need to make changes to the board members who are identified on filings with the ACC, the charter holder will need to submit the appropriate filings with the ACC and provide Board staff with evidence of the appropriate filing(s).

School Governing Body

If the corporate entity of the charter holder has a separate governing body responsible for certain school decisions, this is known as the school governing body. The charter holder is out of compliance with the charter contract if the school governing body members identified in the contract is/are not current.

To review the school governing body, select the “Schools” tab. The members will be listed separately for each school under the “Governing Body” tab.

Should the charter holder wish to add or delete a school governing body member, it must submit a School Governing Body Amendment Request through ASBCS Online.

Charter Holder and School Location

The charter contract identifies the physical and mailing addresses for the charter holder, and for any schools operated under the charter. The charter holder is out of compliance with the charter contract if the addresses in the contract do not accurately reflect the addresses of the charter holder and the school(s) it operates. If the charter holder has expanded, and the expansion has resulted in an additional address for a school, the charter holder should contact Board staff.

Should a charter holder wish to change the address(es) for the charter holder, it must submit the Charter Holder Location Amendment Request. Should a charter holder wish to change the address(es) for a school, it must submit the School Location Amendment Request.

Grade Levels Served

The charter contract identifies the grade levels the charter holder is authorized to serve as well as the specific grade levels the charter holder may and is serving at each of the schools it operates. The charter holder is out of compliance with the charter contract if the grade levels it serves do not align with the grade levels described in the contract.

To review the grade levels the charter holder is authorized to serve, select the “Detailed Information” link from the gray bar, then the “Grades” tab. The most current information will be found at the top of the list with an “Effective Date” but no “End Date.”

To review the grade levels the charter holder is authorized to serve at each of the schools, select the “Schools” tab. The authorized grade levels will be listed separately for each school under the “Grades” tab.

Should the charter holder wish to change the grade levels it is authorized to serve under the charter, it must submit a Grade Level Change to Charter Amendment Request through ASBCS Online.

Should the charter holder wish to change the grade levels it is authorized to serve at a specific school, it must submit a School Specific Change in Grades Served Amendment Request through ASBCS Online.

Program of Instruction

The program of instruction should describe the methods of instruction and assessment, criteria for promotion from one level to the next, and graduation requirements. The charter holder’s program of instruction should align with the charter mission, educational philosophy, and target population as described in the charter. The charter holder is out of compliance with the charter contract if the methods of instruction, methods of assessment, criteria for promotion from one level to the next, and/or graduation requirements currently used at the schools operated by the charter holder do not align with those described in the charter contract.

If you do not have a copy of the program of instruction currently associated with the school(s) operated by the charter holder, please submit a public records request to charterschoolboard@asbcs.az.gov.

Should the charter holder wish to modify the program of instruction, it must submit a Program of Instruction Amendment Request through ASBCS Online. If the charter holder is seeking to make changes to the charter holder’s delivery method to include the provision of specific online courses or the provision of a

comprehensive offering of courses that would constitute an online school under A.R.S. §15-808 for grade levels currently approved in the charter, the charter holder will be required to submit the Arizona Online Instruction Program of Instruction Amendment Request.

Mission Statement

The mission statement on ASBCS Online should be the same as the mission statement on the charter's website, in the handbook, etc. The mission statement should accurately explain how the program of instruction addresses the needs of the students and community the school serves.

To review the mission statement currently associated with the schools operated by the charter holder, select the "General" tab. The mission statement is listed at the bottom of the page. Should the charter holder wish to modify the mission statement, it must submit a Charter Mission Amendment Request through ASBCS Online.

Instructional Days

While all charter schools must operate using a school calendar and daily instructional schedule(s) that ensure compliance with A.R.S. §15-901 regarding annual instructional hours for each grade served, there is flexibility in the number of instructional days that may be provided. The number of instructional days on file with the Board are contractual and must accurately reflect the number of instructional days in the school's calendar. The charter holder is out of compliance with the charter contract if it is not providing the number of instructional days identified in the contract and/or the minimum annual instructional hours for each grade served.

To review the contractual instructional days for the charter schools operated by the charter holder, select the relevant school on the "Schools" tab, then select the "General" tab for the school. The contractual instructional days are listed as "Contractual Days" in the "General Information" area.

Should the charter holder wish to modify the contractually required instructional days, it must submit an Instructional Days Amendment Request.

Enrollment Cap

The charter contract identifies the enrollment cap, which limits the number of students the charter holder is authorized to serve. The charter holder is out of compliance with the charter contract if the number of students it serves exceeds the enrollment cap identified in the contract.

To review the enrollment cap, select the "Detailed Information" link from the gray bar, then the "Enrollment Caps" tab. The most current information will be found at the bottom of the list with an "Effective Date" but no "End Date."

Should the charter holder wish to change the enrollment cap, it must submit an Enrollment Cap Amendment Request through ASBCS Online.

VI. ACADEMIC SYSTEMS REVIEW (SITE VISIT)

As part of the Five-Year Interval Review process, Board staff conducts a comprehensive on-site visit.

Site Visit Components: The ASR on-site visit focuses on the following:

1. Classroom observations of multiple classrooms to view the program of instruction in action.
2. A review of documents to ensure compliance with the charter contract, and specific state and federal mandates.
3. A review of documents to evaluate the school's academic systems, specifically, to gain an understanding of how the school develops and implements the following:

- A curriculum designed to improve student achievement.
 - A system for monitoring the integration of the Arizona academic standards.
 - A system for monitoring and documenting student proficiency.
 - A professional development plan that supports implementation of the curriculum.
4. A discussion with the school leadership to review initial findings and clarify any issues or concerns.

Compliance

During this component of the visit, Board staff reviews documentation to ensure compliance in the following areas:

- Instructional Days
 - Number of days on the school calendar aligned with the number of days in the charter contract and on file with the Arizona Department of Education.
- Instructional Hours
 - Minimum required instructional hours are met for all grade levels
 - Move on When Reading requirement is met in grades K-3
 - Compliance with recess requirements
- Availability of Instructional Staff Education and Experience
 - Information about the teaching background and experience for all instructional staff members is available to parents.
 - Availability of this information is communicated to parents.
- Open Meeting Law
 - Compliance with A.R.S. §§38-431–38-431.09
- Governing Body Alignment
 - Governing Body membership is reviewed for alignment with what is on file in the charter contract.
- Enrollment Policies and Forms
 - Compliance with federal and state laws, regulations, and policies. For guidance in this area, see the “Enrollment Guidance” area of the Board’s website (<https://asbcs.az.gov/news-events>).
- Attendance Policies
- Discipline Policies
- Mission Statement
 - Alignment between school materials and the mission on file with the Board.

Academic Systems

The ASR is designed to gather evidence regarding the school’s implementation in providing a comprehensive program of instruction and designing a method to measure pupil progress toward pupil outcomes, as required in the charter contract. A set of criteria is used by Board staff to review the school’s implementation of its academic systems.

Criteria: The ASR criteria determines the extent to which the school has:

1. An explicit, written curriculum for core content area that is aligned with Arizona academic standards.
2. A systematic process for reviewing and evaluating the curriculum, at specific intervals, for alignment to Arizona academic standards and improving student academic outcomes for the population served.
3. A teacher evaluation system to monitor the integration of state standards into instruction.
4. An assessment plan to track, analyze, and monitor student academic performance.
5. A professional development plan that aligns with the program of instruction and best practices.

Timeframe: The ASR site visit is unannounced and will occur within a two-week window between September and April of the current fiscal year. The charter holder will be notified of the dates of the two-week site visit window two weeks prior to the opening of the window. (For example, if the site visit window is February 18-March 1, the charter holder will receive notification on February 4.)

VII. FINAL REPORT

The final report will summarize Board staff's findings based on classroom observations, documents reviewed, and discussions with school leadership. Additionally, each report includes a summary of any contractual noncompliance issues identified by Board staff, how they are recorded in the charter holder's operational dashboard, and any follow-up that is required. The final report is uploaded to the charter holder's Document Management System in ASBCS Online and is available to the public.