



New York State Education Department

***Request for Proposals to Establish Charter Schools
Authorized by the Board of Regents***

2011 Charter School Application Kit

January 3, 2011

The Regents of The University of the State of New York
Office of Innovative School Models
89 Washington Avenue
Albany, New York 12234
<http://www.emsc.nysed.gov/psc/>

Sally Bachofer, Assistant Commissioner

Table of Contents

Introduction to New York Charter Schools 5

Acknowledgements..... 7

Public Space Availability in New York City 7

Application Process and Review Phases 8

Application Process Timeline 14

Application Review Team Process 15

PHASE I: LETTER OF INTENT TO APPLY 16

Contact Information for Applicant’s Authorized Representative..... 18

PHASE II: PROSPECTUS 19

I. EXECUTIVE SUMMARY 21

II. STUDENT POPULATION..... 21

A.Student Enrollment 21

B.Target Populations..... 22

III. SCHOOL DESIGN..... 23

PHASE III: FULL APPLICATION 24

I. EDUCATION PLAN 24

A. Curriculum and Instruction..... 24

B. School Calendar and Daily Schedule..... 25

C. Target Population 26

D. Assessment..... 26

E. School Climate and Discipline	27
II. ORGANIZATIONAL PLAN	27
A. Governing Body	27
B. Founding Group Composition.....	28
C. Management and Operation	29
C.1. Charter Management Organizations	30
D. Staffing and Human Resources	31
E. Student Recruitment, Enrollment, and Evidence of Demand	32
F. Community Involvement.....	32
F.1. Joint Application.....	33
III. FINANCIAL PLAN	34
A. Budget.....	34
B. Financial Management	35
C. Facility	36
D. Transportation	38
E. Food Service	39
F. Insurance	39
G. Pre-Opening Plan.....	40
IV. Table of Required Attachments.....	41
PHASE IV: CAPACITY INTERVIEW	47
APPENDICES.....	50
Appendix A: Formatting and Submission Requirements.....	50
Appendix B: Frequently Asked Questions	51

Appendix C: Prospectus Evaluation Rubric..... 58

Appendix D: Application Evaluation Rubric..... 61

Introduction to New York Charter Schools

Dear New School Applicant:

Thank you for your interest in creating a charter school in the state of New York. In 1998, the New York State Legislature created an opportunity for the creation of new, performance-based public schools through the charter process. During the last week of May 2010, the State Legislature increased the number of charter schools that may be authorized under the law. Accordingly, the State Education Department has developed new charter school application materials which are compiled within the document entitled, *Request for Proposals (RFP) to Establish New York State Charter Schools Authorized by the Board of Regents*. This RFP launches our second application cycle under the new law with this improved, more rigorous application kit.

Charter schools are secular, tuition-free public schools that operate as independent not-for-profit organizations. Our State's charter school legislation offers students, families and educators more choices in public education, and allows schools autonomy and flexibility in how they operate; and in exchange these charter schools must adhere to stricter accountability and higher educational standards.

New York is not alone in looking to charter schools to improve public education. Nationally, more than 4,900 charter schools educate more than 1.7 million children. The federal administration prioritized substantial funding increases to start new charter schools, and the availability of new dollars will allow new charter applicants to focus on innovation, replication of successful models, expansion of public school choice, and provide a strategy to turn around less successful schools.

Authorizers. Charter schools are created by application to a designated charter school authorizer. The Regents of The University of the State of New York (Board of Regents) has been designated as a charter school authorizer under State law. The Board of Regents has directed the New York State Education Department's Office of Innovative School Models to design and conduct a thorough process to review and recommend action on charter school applications.

Governance. Charter schools are governed by a not-for-profit governing board. High performing charter schools have governing boards that are composed of individuals with a mixture of backgrounds and expertise relevant to governing a public, not-for-profit educational organization. Such experience and expertise may include teaching or administering an educational program, legal compliance, real estate and facilities, financial management and accounting, fundraising and development, community engagement, and parent involvement.

Autonomy. Charter schools operate with substantial autonomy and flexibility in comparison to traditional public schools. Charter school operators have the opportunity and responsibility to decide the best ways to allocate resources like time, people and money to best meet the needs of their students within the bounds of the charter school law and some laws and regulations

that apply to other public schools. For example, operators may determine the length and structure of the school day in a way that best fits the educational program or structure the budget to ensure that teachers will have the instructional resources they need to be effective. The authority of charter school operators to make these types of decisions is premised on the belief that those closest to students are best suited to make critical decisions about meeting their learning needs.

Accountability. Performance-based accountability is a central component of charter school policy in New York State. The Charter Schools Act requires that schools have clear, measurable academic performance standards under which they will operate and be evaluated. In addition, schools must be financially accountable, provide evidence of public satisfaction and support, and comply with applicable laws such as health and safety, special education, and all civil rights laws.

Request for Proposals to Establish New York State Charter Schools Authorized by the Board of Regents. The remainder of this Application Kit is dedicated to the specific steps and requirements that a charter school applicant must follow to submit an application to the Board of Regents for consideration. All necessary forms, requirements and deadlines related to the application process can be found within this Application Kit. The Application Kit, however, is not a guide to charter school law and other law that governs the operations of public schools. It is the sole responsibility of the applicant to fully understand and address the legal requirements of all relevant law and to present a coherent and viable school design that both complies with the law and is likely to improve student learning and achievement in New York State.

As a final note, I am pleased to inform prospective applicants that in the 2011 application cycle, they may simultaneously apply for a public school charter and a **Charter School Program (CSP) Planning and Implementation Grant** using this application kit. We have collapsed the CSP Grant application process into the overall application process for a public school charter, streamlining technical details of the grant application and bringing it into better alignment with the application for a public school charter. This alignment is referenced in footnotes throughout the application kit with additional informational and forms provided in Exhibit A. The award of CSP grant funding is contingent upon the State Education Department applying for and successfully securing federal funding in the upcoming grant cycle.

The Board of Regents will only approve applications that clearly demonstrate a strong capacity for establishing and operating a high quality charter school. This standard requires a sound educational program, organizational plan, and financial plan, as well as strong capacity to implement the proposal effectively. The Department and staff look forward to reviewing your proposal to launch a new, high-quality, public charter school in New York State.

Sally Bachofer
Assistant Commissioner
Office of Innovative School Models

Acknowledgements

Much of the information provided in this Charter School Application Kit was derived from exemplar materials created by charter school authorizers and other supporting organizations that are nationally recognized for their policies and procedures aimed at increasing the number of high quality charter schools. The Board of Regents and the New York State Education Department wish to acknowledge and thank the following organizations for their contributions and assistance in creating this Charter School Application Kit.

Charter School Institute

1580 Logan Street, Suite 210

Denver, CO 80203

www.csi.state.co.us

Charter Schools Institute

The State University of New York

41 State Street, Suite 700

Albany, NY 12207

www.newyorkcharters.org

Charter School Office

Massachusetts Department of Elementary and Secondary Education

75 Pleasant Street

Malden, MA 02148

www.doe.mass.edu/charter

Office of Charter Schools

Oakland Unified School District

1025 Second Ave. Rm. 206

Oakland CA, 94606

www.ousdcharters.net

National Association of Charter School Authorizers

105 West Adams Street, Suite 3500

Chicago, IL 60603-6253

www.qualitycharters.org

SchoolWorks

100 Cummings Center, Suite 236C

Beverly, MA 01915

www.schoolworks.org

For Applicants Proposing Charter Schools in New York City

The New York City Department of Education welcomes the launch of high-quality schools, including charter schools, across the city of New York. Applicant teams proposing to establish new charter schools within any New York City borough or community school district should be aware that the New York City Department of Education’s Division of Portfolio Planning has identified areas of the city where the need for new schools, including charter schools, is the greatest. Applicant teams should plan to work closely with the Charter Schools Office and the Division of Portfolio Planning to secure the Department’s and Chancellor’s support for the proposed school. Furthermore, if an applicant team seeks to be co-located in a NYC-DoE public school facility, the applicant team must work with the Division of Portfolio Planning and the Charter Schools Office to determine the most appropriate site arrangement for the proposed school.

For the 2011 application round, the Division of Portfolio Planning has indicated that there is a general need for high-quality middle and elementary seats across the entire city, and specifically high-school seats needed in the Bronx, Manhattan, and Queens. Applications that have a specific focus on English language learners or special education are encouraged.

Geographically, the Division has indicated that there is limited public school space in certain districts across the city. Based on the current list of under-utilized DOE public school facilities, new schools may be accommodated in the following districts for the 2012-2013 school year¹:

Manhattan: 1, 5, 6

Brooklyn: 13, 14, 16, 17, 18, 19, 23

Queens: 26, 27, 28, 29

Applicant teams seeking to serve as a “restart” school (a charter replacing a school that the DOE has proposed to phase-out) are encouraged to reach out directly to the Division of Portfolio Planning to learn more about this process and the DOE’s requirements of charter operators.

For additional information regarding the availability of public space for new charter schools in New York City, please contact Mr. Recy Benjamin Dunn, Executive Director, Office of Charter Schools within the Division of Portfolio Planning, at 212-374-2324, or via email at: Charterschools@schools.nyc.gov.

¹ Availability subject to change. The Division of Portfolio Planning publishes the list of under-utilized DOE public school facilities by borough and district every fall and will work with the Charter Schools Office and all applicant teams to keep them informed of significant changes whenever possible.

Application Process and Review Phases

The charter school application process utilized by the Board of Regents and the New York State Education Department (NYSED, or the Department) is designed to ensure that any charter school applicant presented to the Board of Regents for possible approval demonstrates four essential competencies:

1. The applicant demonstrates clear understanding of the New York State Charter Schools Act and what it means to comply with the Act.
2. The applicant's proposed school demonstrates clear alignment with the educational priorities stated in the law.
3. The applicant presents a coherent and practical design for the proposed school.
4. The applicant demonstrates the necessary experience, skill and will to manage the challenging and dynamic process of opening and operating a public charter school.

To assess all four necessary competencies, NYSED will review and evaluate the Letter of Intent, the Prospectus, and the Full Application. On the strength of the application, NYSED will conduct a Capacity Interview and prepare a formal Recommendation to the Board of Regents. This process has been greatly streamlined from previous years, and affords applicant groups a clear, focused, and appropriate path through the charter application process.

Some applications may not be qualified to complete all phases of the process. If an application does not meet threshold requirements at any stage of the process, NYSED will not allow for submittal of materials for the subsequent phase. Due to the competitive nature of the process, NYSED will not extend an opportunity for the applicant to address deficiencies at any stage of the process during the current application cycle.

The following is a brief description of each phase, a description of threshold requirements to continue to the next phase of the application process, and the corresponding dates/timelines for submission and review.

Phase I: [Letter of Intent](#). Each applicant must submit a Letter of Intent identifying pertinent information about the proposed charter school, including but not limited to the location, projected grades served, enrollment, and identification of the founding group. The Application Kit includes a template that may not be altered except to insert the required information unique to each applicant. By completing the template, the applicant acknowledges and accepts the requirements and expectations therein.

The Letter of Intent will provide essential information to NYSED regarding the number of prospective applicants, which will enable the Office of Innovative School Models to ensure adequate staffing levels to review prospectuses and applications in accordance with the set timeline. The Letter of Intent is also vital to allow for public notice regarding the proposed

charter school. It and all subsequent application materials will be posted online at <http://www.p12.nysed.gov/psc/startcharter.html> for public review.

The Letter of Intent and contact information form must be submitted to NYSED's Office of Innovative School Models by close of business on **Wednesday, January 19, 2011**. NYSED will post all Letters of Intent—without the personal contact information—to the Department's website. The media contact information for each application will be posted separately. The applicant must email the PDF version of the letter of intent and contact information form, and mail one hard copy of both forms to the following address. Only emails submitted before 5:00 PM on **January 19, 2011** will be accepted:

Email: charterschools@mail.nysed.gov

Subject line of the Email: Letter of intent: [insert name of proposed school]

NYSED Office of Innovative School Models
89 Washington Avenue, Room 475 EBA
Albany, New York 12234
Phone: (518) 474-1762
Fax: (518) 474-7558

Phase II: Prospectus. The purpose of the Prospectus is to allow the applicant to demonstrate the first two of the four key competencies required for a successful application:

1. The applicant demonstrates clear understanding of the New York State Charter Schools Act and what it means to comply with the Act.
2. The applicant's proposed school demonstrates clear alignment with the educational priorities stated in the Act.

The Prospectus requires the applicant to address questions that directly align to the requirements and priorities stated in the Act. Beyond making assurances, the applicant must demonstrate educational alignment and operational compliance to the key requirements and educational priorities of the Act. The Prospectus will be reviewed by the NYSED staff and external reviewers using the [Prospectus Evaluation Rubric](#) in [Appendix C](#).

In addition, the applicant must limit its Prospectus to no more than 20 pages and adhere to additional formatting requirements which cannot be altered in any way. Please review the complete submission requirements for the Prospectus in [Appendix A](#).

The applicant must email the PDF version of the Prospectus and mail one hard copy to the address provide below. Only emails submitted before 5:00 PM on **Monday, January 31, 2011** will be accepted:

Email: charterschools@mail.nysed.gov

Subject line of the Email: Prospectus: [insert name of proposed school]

NYSED Office of Innovative School Models
89 Washington Avenue, Room 475 EBA
Albany, New York 12234
Phone: (518) 474-1762
Fax: (518) 474-7558

Applicants that demonstrate all of these requirements and priorities will be notified that they may continue beyond the Prospectus stage of the application. NYSED will notify the applicant by **Monday, February 28, 2011** if the Prospectus is approved.

Phase III: Full Application. If advanced to the Full Application phase, the applicant will be required to submit the Full Application **within four weeks of notification, by March 31, 2011**. The Full Application narrative to establish a charter school may not exceed 40 pages and the required attachments may not exceed 75 pages. The formatting requirements for the Full Application are found in Appendix A of this Application Kit.

Exhibit A: Charter School Program (CSP) Planning and Implementation Grant. We have collapsed the CSP Grant application process into the overall application process for a public school charter, streamlining technical details of the grant application and bringing it into better alignment with the application for a public school charter. This alignment is referenced in footnotes throughout the application kit with additional informational and forms provided in Exhibit A. In addition to the 115 page charter school application, please submit a proposed budget for the CSP grant using the FS-10 form, a budget summary for the CSP grant using the FS-20 form, and a detailed budget narrative explaining how the CSP grant will be expended.

Please note that receiving a CSP grant is contingent upon 1) the State Education Department applying for and successfully securing federal funding in the upcoming grant cycle; 2) Regents approval and issuance of a charter allowing the applicant to operate a charter school; and 3) approval of the Department's granting of a CSP award to an applicants by the Office of the New York State Comptroller.

By **Thursday, March 31, 2011**, applicants must submit an electronic version of the **Full Application and the CSP Grant Application** via email and one hard copy of both to:

Email: charterschools@mail.nysed.gov

Subject line of the Email: Full Application: [insert name of proposed school]

NYSED Office of Innovative School Models
89 Washington Avenue, Room 475 EBA
Albany, New York 12234
Phone: (518) 474-1762
Fax: (518) 474-7558

Please be advised that some applications may not be qualified to complete all phases of the process. The Full Application will be reviewed by the NYSED staff using the Application

[Evaluation Rubric](#) in Appendix D of this application kit. Applicants will be notified no later than four weeks after submission if the Application has been accepted, and if the founding group will be invited to participate in a Capacity Interview.

Please note: the Full Application will not require applicants to create documents that are only needed once the school is operational (e.g. full curriculum or a human resources handbook). If the applicant is granted a charter, NYSED will work with the applicant to determine a timeline for completion of such documents. All required pre-opening requirements and procedures will be outlined in a forthcoming document titled *Pre-Opening Procedures for New York State Charter Schools Authorized by the Board of Regents*.

Phase IV: Capacity Interview. Applicants whose applications are accepted may be invited along with their founding group and/or proposed board of trustees to participate in the final phase of the application process. The primary purpose of the interview is to assess the capacity of the board to effectively oversee the school's academic program, organizational viability, and finances. The interview is designed to determine the founding group's understanding of academic and operational accountability as well as the demographics and other characteristics of the district where the proposed school will be located. In addition, the interview will provide opportunities to address questions generated by reviewers during the application review process, provide further verbal clarification, or elaborate on responses within the written application. The Capacity Interviews will be scheduled during the month of May 2011.

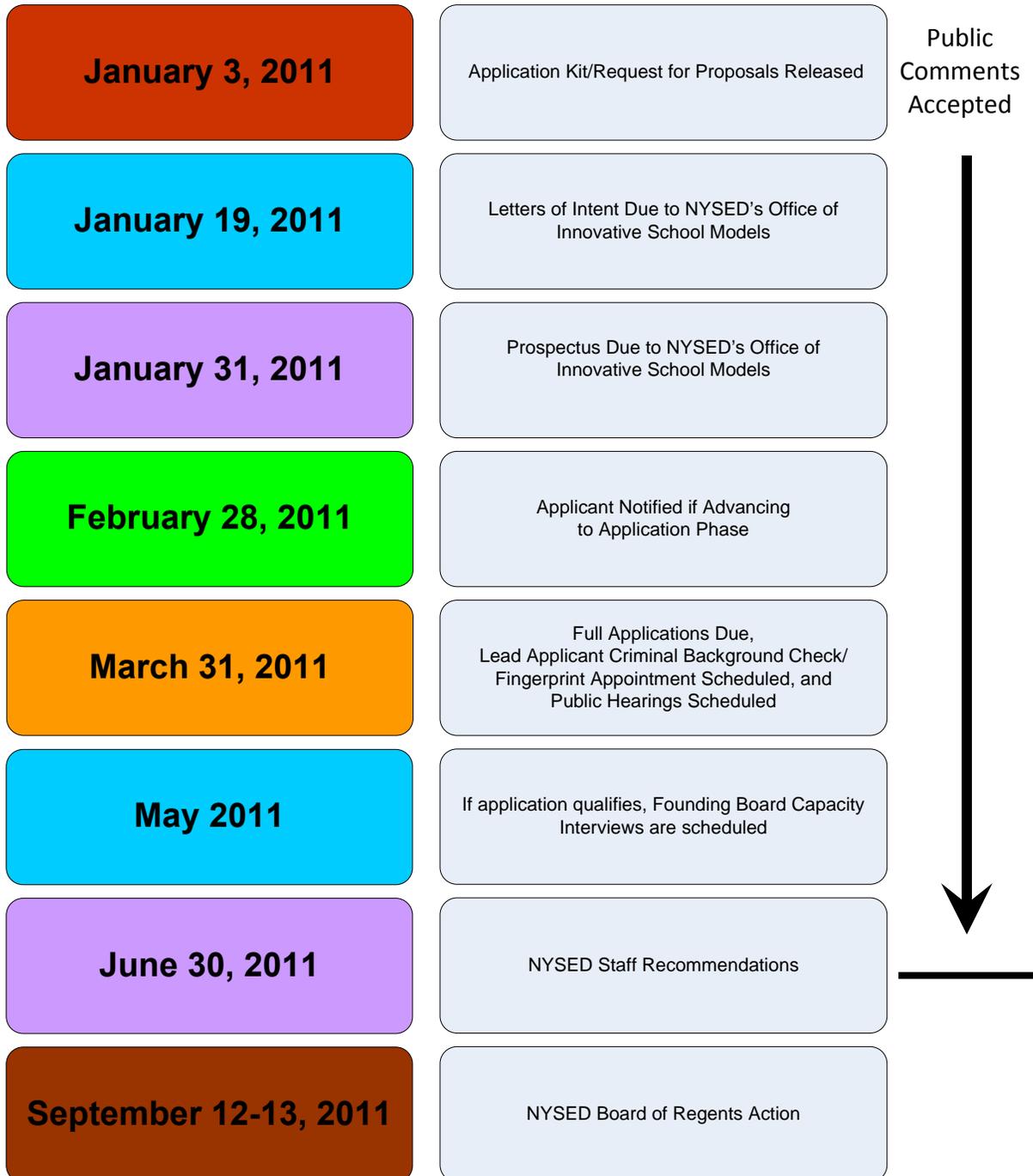
Recommendation for Approval or Denial of the Application. By **June 30, 2011**, NYSED will determine whether the application will be recommended to the Board of Regents for approval or denial. If the applicant has demonstrated appropriate knowledge, capacity, and abilities to effectively create, maintain, and oversee a high-quality charter school, NYSED will recommend that the applicant be awarded a charter.

Action to Approve or Deny the Application. At the Board of Regents meeting scheduled for **September 12-13, 2011**, the Board of Regents will approve or deny the application. A recommendation for approval may include the recommendation or requirement that applicants take a planning year prior to opening the school. The granting of a charter by the Board of Regents does not indicate final authorization to open the school. Founding groups that are granted a charter will work with NYSED during the start-up (or pre-opening) phase of the school to finalize the charter contract and to assist the school board and leadership in readying the school facility and programs to serve students. This work will be guided by the following documents, which may include:

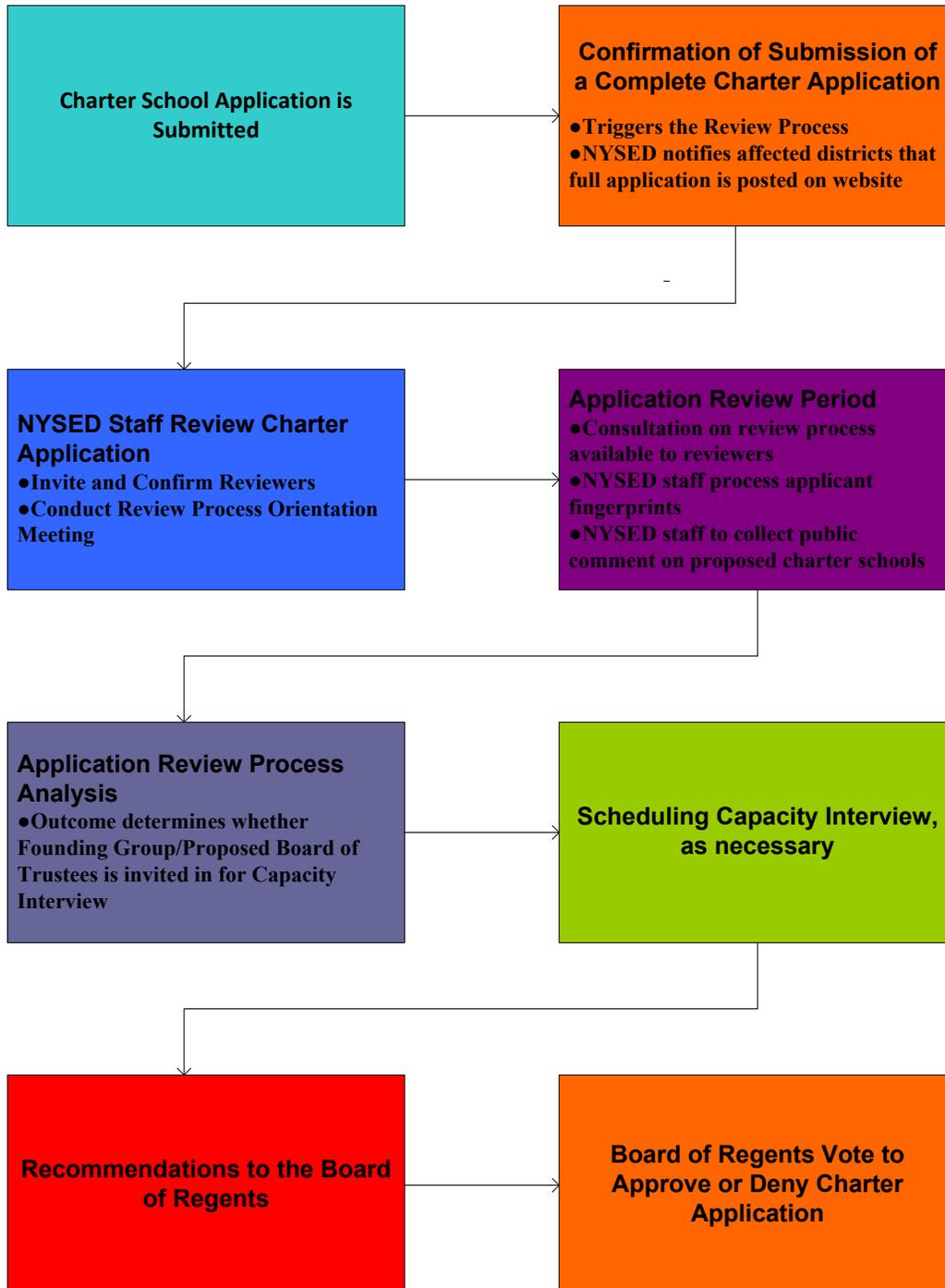
- a charter contract with the Board of Regents;
- *Pre-Opening Procedures for New York State Charter Schools Authorized by the Board of Regents*;
- a performance (or accountability) plan,
- a monitoring and oversight calendar of events; and
- any other requirements necessary prior to opening the school.

If the applicant is found to be lacking in any area of the application, NYSED will recommend denial of the application. In such cases, NYSED will provide the applicant with a summary of the areas in which the application was determined to be deficient subsequent to the meeting where the Board of Regents will take action. In some cases, the applicant may be encouraged to address deficiencies discovered during the application review process and/or capacity interview and re-submit the application in a subsequent application cycle.

Application Process Timeline



Application Review Team Process



Phase I: Letter of Intent to Apply

NYSED Office of Innovative School Models
89 Washington Avenue
Room 475 EBA
Albany, New York 12234
Phone: (518) 474-1762
Fax: (518) 474-7558



Letter of Intent to Apply for a Charter

If you plan to submit a charter school application to the New York State Education Department, please submit the following Letter of Intent and authorizer representative’s contact information form to the Office of Innovative School Models by **Wednesday, January 19, 2011**. This will help the Office of Innovative School Models to more effectively communicate with applicant groups and to gather information about interest in expanding choice options in New York.

**Please email this letter to charterschools@mail.nysed.gov.
Subject line of the Email: Letter of intent: [name of proposed school]**

I understand that this letter and any other general application documentation that I submit will be posted on the NYSED website and made accessible to the public. Personal contact information will not be posted. (Media contact information for each application will be posted separately).

Date of Submission _____

Name of proposed school (the words “charter” and “school” must appear in the proposed school name). _____

Conversion from an existing public school **Yes** **No**

Lead Applicant or authorized representative _____

Media Contact (if different from Lead Applicant) _____

Media Contact email _____

Media Contact phone number _____

District or CSD in which the school will be located _____

Physical address of the school (if known) _____

Composition of founding group
(e.g., parents, teachers, non-profits) _____

Proposed opening date (school year for which the school intends to open): **Fall of 2012-2013.** No new charter schools will be able to open earlier than the 2012-13 school year. If a later opening date is anticipated, please indicate the school year: Fall 20_____.

Total Projected Grade Levels and Enrollment

Grade Levels Served: _____

Projected Enrollment: _____

Are you planning to work with a charter management organization (CMO)? Yes No
If so, please indicate the name of the CMO. _____

Are you planning to work with a partner organization (such as a university, academic program partner, or whole school change model)? Yes No
If so, please indicate the name of the organization. _____

Is this proposed school part of an existing network of charter schools? Yes No
If so, please indicate the name of the charter school network. _____

Have you ever applied to this or another charter entity to open this proposed school or another charter school? Yes No

If so, please indicate the date the application(s) was/were submitted and to which charter entity (use additional lines as necessary):

1. _____

2. _____

3. _____

Signature of Lead Applicant or Authorized Representative

Date

CONTACT INFORMATION FOR APPLICANT’S AUTHORIZED REPRESENTATIVE

Please fill out the following information and submit with the letter of intent. This information will not be posted to the NYSED website.

Lead Applicant or Authorized representative _____
(If the Prospectus is approved, the lead applicant will undergo a required criminal background check and fingerprint scan).

Full mailing address (include city, state, zip code) _____

Daytime telephone number _____

Fax number _____

Email address _____

Phase II: Prospectus

Purpose: The purpose of the Prospectus is to allow the applicant to demonstrate the first two of the four key competencies required for a successful application:

1. The applicant demonstrates clear understanding of the New York State Charter Schools Act and what it means to comply with the Act.
2. The applicant's proposed school demonstrates clear alignment with the educational priorities stated in the Act.

The Prospectus requires the applicant to address questions that directly align to the requirements and priorities stated in the New York State Charter Schools Act. Applicants that demonstrate all of these requirements and priorities will be notified that they may continue with the Final Application stage of the application.

Beyond making assurances, the applicant must describe how the proposed school will comply with key requirements in that Act and how its educational program will align with the educational priorities in the Act. In addition, there are strict page limits and formatting requirements for the Prospectus that may not be altered in any way. Applicants that demonstrate all of these requirements and priorities will be notified that they may continue beyond the Prospectus stage.

Submission: Please review the full submission requirements for the Prospectus in [Appendix A](#). Most importantly, the applicant must submit a Prospectus no longer than 20 pages by close of business on **Monday, January 31, 2011**. As with the Letter of Intent, please email a PDF version and mail one hard copy of the Prospectus to:

Email: charterschools@mail.nysed.gov

Subject of the Email: Prospectus: [name of proposed school]

NYSED Office of Innovative School Models
89 Washington Avenue, Room 475 EBA
Albany, New York 12234
Phone: (518) 474-1762
Fax: (518) 474-7558

Review: The Prospectus will be assigned to a Prospectus Review Team for review using a general set of guidelines. The reviewers will assess the extent to which the Prospectus meets the following criteria within the context of two of the four key competencies:

1. The applicant demonstrates a clear knowledge of the law and its requirements and priorities.

2. The applicant's design is a compelling response to the performance priorities in the law (a-i).
3. The applicant demonstrates a clear knowledge of the community in which the school will be located.
4. The applicant's overall approach is coherent and logical, specifically addressing the demonstrated needs of students in the community it intends to serve.

Applicants that do not address one or more of the criteria above or priorities in the law, as appropriate, will not continue in the Application process. NYSED will notify the applicant by **February 28, 2011** whether the Prospectus is approved.

Prospectus Requests

I. EXECUTIVE SUMMARY

Applicant Instructions: In no more than two pages, provide a brief summary of your school. Include a discussion of the proposed school’s mission, key design elements of the educational program, other unique characteristics of the program (if any), and a discussion of the founding group’s capacity to effectively oversee and govern the proposed school.

Evaluation Criteria:

A response that meets the standard will

- present a compelling 1-2 sentence mission statement that defines the purpose of the school;
- describe the school’s key design elements and unique characteristics (if any); and
- include a persuasive explanation of the founding group’s capacity to effectively launch, oversee and govern the school.

II. STUDENT POPULATION

A. Student Enrollment

Applicant Instructions: In the table provided, enter enrollment projections for the school, by year, for the first five years of operation.

Grades	Projected Enrollment Table				
	2012-2013	2013-2014	2014-2015	2015-2016	2017-2018
K					
1 st					
2 nd					
3 rd					
4 th					
5 th					
6 th					
7 th					
8 th					
9 th					
10 th					
11 th					
12 th					
Ungraded					
Totals					

B. Target Populations

Applicant Instructions: Using statistics as well as descriptive language, please describe the plan for the recruitment and enrollment of students. Explain how the school will be publicized and marketed throughout the community to a broad cross-section of families and prospective students and indicate the strategies the proposed charter school will use to reach families that are traditionally less informed about educational choice options.

More specifically, please describe the population of students with disabilities, students who are English language learners, and students from households that are eligible for the federal free- and reduced-priced lunch program in the school district where you intend to operate the proposed charter school. Explain how your school will attract, serve, and retain such students in numbers that are comparable to or greater than the existing school district. Specifically discuss how these students will be identified, how the school will develop plans for their education, how the school's curriculum and approach to instruction will be designed or adapted to serve those students, and how their progress will be monitored.

Please note: NYSED has provided prospective applicant groups with information on the enrollment numbers and percentages of limited English proficient (LEP) students; students with disabilities (SwD); students who are eligible for federal free- and reduced-priced lunch; and English language learners (ELLs) for all school districts in New York State and all public charter schools in New York State. Data was extracted from the most recently released School and District Report Cards. This information is for illustrative and planning purposes only and does not provide the complete picture of students served or needs to be met in all communities in the State. The data files can be found on the Department's website at: <http://www.emsc.nysed.gov/psc/startcharter.html>²

Evaluation Criteria:

A response that meets the standard will

- include an outreach and recruitment plan that demonstrates understanding of the community to be served and is likely to be effective including for families traditionally less informed about educational options.
- demonstrate understanding of the target population;
- present a plan for attracting, serving, and retaining such students in numbers that are comparable to that or greater than the existing school district;
- demonstrate understanding of and capacity to meet state and federal requirements regarding identification and education of the likely ELL population; and

² As required by the 2010 revisions to the Charter Schools Act, the Board of Regents and the SUNY Trustees will adopt appropriate and responsible enrollment and retention targets for students with disabilities, English language learners, and students who are eligible for free- and reduced-priced lunch for new public charter schools created under the 2010 cap. These targets will be incorporated into new public charter school performance plans and annual reports, and charter school renewals. Staff in the Department's Office of Innovative School Models, in collaboration with SUNY's Charter Schools Institute, will work to propose these targets to their respective governing boards for consideration.

- demonstrate understanding of and capacity to meet state and federal requirements regarding the identification and education of students with disabilities;

III. SCHOOL DESIGN

Applicant Instructions: Describe why the proposed school design and the founding group are likely to accomplish the following eligibility criteria (a-i) listed below. Applicants must address each criterion specifically and separately. If your school design or plan draws on existing school models, you may choose to present historical evidence that your design, or at least components thereof, have led to similar outcomes in existing schools. If your school design or plan does not have a precedent, you may choose to present a clear rationale for the design and any research or other supporting information that leads you to believe the plan or model will fulfill the following eligibility criteria and outcomes:

- a. Increase student achievement and decrease student achievement gaps in reading/language arts and mathematics;
- b. Increase high school graduation rates and focus on serving at-risk high school student populations (including re-enrolled drop-outs and those below grade level);
- c. Focus on academic achievement of middle school student populations and preparation for transition to high school (if applicable);
- d. Utilize a variety of high-quality assessments to measure understanding and critical application of concepts;
- e. Increase implementation of local instructional improvement systems to assess and inform instructional practice, decision-making, and effectiveness;
- f. Partner with low-performing, local public schools to share best practices;
- g. Demonstrate the ability to overcome start-up challenges to open a successful school through management and leadership techniques;
- h. Demonstrate the support of the school district of location and the intent to establish an ongoing relationship with such district; and
- i. Provide access to viable education alternatives to students in regions where there are a lack of alternatives.

Evaluation Criteria:

A response that meets the standard will

- include a persuasive explanation of how the proposed school design and founding group are likely to accomplish each of the eligibility requirements found in Education Law section 2852(9)(a);
- present evidence of school design success (if drawing on existing school models); and
- present research or other information that supports the efficacy of your school design (if your school design does not have a precedent).

Phase III: Full Application

We intend to request (and include in the narrative justification for) a waiver from a federal, State, or local regulation or rule that is generally applicable to public schools which we propose be waived, or otherwise not apply to the charter school. *(If yes, please check the box and include justification where appropriate in the application narrative).*

We intend to apply for a Charter School Planning and Implementation Grant (CSP). *(If yes, please check the box and see Exhibit A for details and forms.)*

We understand that once the Board of Regents approves our charter school application and issues a charter, our charter school is eligible to receive a CSP grant pending final approval by the Office of the New York State Comptroller *(If yes, please check the box and see Exhibit A for details and forms.)*

We understand that the Prospectus is incorporated into the Full Application by reference. *(If understood, please check the box.)*

Please see [Appendix A](#) for specific formatting directions. In no more than 40 pages plus the required Attachments (which may not exceed 75 pages), please respond to the following questions.

I. EDUCATION PLAN³

The Education Plan should define what students will achieve; how they will achieve it; and how the school will evaluate student performance. It should provide a clear picture of the educational climate, structure, assessment, and outcomes.

A. Curriculum and Instruction⁴

Applicant Instructions: Provide a description of the curriculum to be used by the school, including sample promotion or exit standards for English language arts and mathematics in two, non-consecutive grade levels to be offered by the school. Describe the process that will be used to ensure that the curriculum – specifically English language arts, mathematics, science and social studies – aligns with the New York State Learning Standards, inclusive of the Common Core State Standards and the New York State Testing Program. Discuss the specific instructional strategies and practices that will be relevant or necessary to successful

³ Reviewer Note: To satisfy §5203 of the ESEA—CSP Grant, a description of the proposed charter school’s educational program is required.

⁴ Reviewer Note: To satisfy §5203 of the ESEA—CSP Grant, the educational program description should include information about (iii) the curriculum and instructional practices the charter school proposes to be used.

implementation of the curriculum. Discuss how curriculum and instruction needs are reflected in plans for professional development.

Evaluation Criteria:

If the school intends to use curricula that have already been developed, a response that meets the standard will

- be consistent with the school’s mission and education program design;
- present a clear and coherent framework for teaching and learning -- particularly in the core academic areas of English language arts, mathematics, science and social studies -- and will ensure alignment with New York State Learning Standards, inclusive of the Common Core State Standards and the New York State Testing Program ;
- demonstrate understanding of relevant instructional strategies or practices; and
- present a coherent framework for professional development and support for teachers that is likely to support effective implementation of the curriculum.

If the school intends to develop core curricula following approval, a response that meets the standard will

- present a viable plan for development of the curricula for core academic areas and for ensuring alignment with New York State Learning Standards and the New York State Testing Program;
- describe the framework for development of the curricula for core subjects; and
- identify a sound research, experience, or theoretical base and foundational materials that will guide curriculum development; and
- present a coherent framework for professional development and support for teachers that is likely to support effective development and implementation of the education program.

B. School Calendar and Daily Schedule

Applicant Instructions: Present the proposed school calendar showing the number of days the school will be in session and sample daily class schedules showing daily hours of operation and allocation of time for core instruction, supplemental instruction, extra-curricular and after-school activities, as applicable.

Required Attachment 3 and Attachment 4:

- Sample Daily Schedule for one grade in each division at which the school intends to operate (elementary, middle and/or high school).
- Proposed Annual Calendar for the first year of operation

Evaluation Criteria:

A response that meets the standard will

- Provide the number of hours and days of instruction needed to comply with the requirement of Education Law 2852(2)(n) that the charter school provide at least as much instructional time during the school year as other traditional public schools and

the requirement of Education Law section 3204(4) that public charter schools be in session for 180 days under the same conditions as other traditional public schools; and

- align with the school’s educational mission and goals.

C. Target Population

Applicant Instructions: Drawing on the Target Population information presented in the Prospectus, explain how the proposed mission, curriculum, teaching methods and services align with the educational needs of that population.

Evaluation Criteria:

A response that meets the standard will

- include a completed Anticipated Enrollment Table;
- present evidence to indicate that the enrollment projections by grade⁵ and school-wide for each year of the charter are realistic; and
- present a persuasive explanation of how the proposed mission, curriculum, teaching methods and services are likely to meet the needs of the target population.

D. Assessment

Applicant Instructions: Describe the school's approach to assessment. Explain how the school will evaluate progress of individual students, cohorts over time, and the school as a whole toward meeting the requirements under New York State’s accountability system. Describe the school's policies and criteria for promoting students to the next level and for graduation from the school. Discuss how the school will use assessment information to modify the educational program and improve instruction, student learning, and staff development.

Evaluation Criteria:

A response that meets the standard will

- align with the school’s mission, objectives, and overall educational priorities, and provide a description of the methods by which the proposed charter school will determine its progress toward achieving its objectives⁶
- demonstrate understanding of the school’s obligation to participate in the statewide system of assessment and accountability;
- demonstrate how the educational program will enable all students to meet challenging State academic achievement standards⁷.

⁵ Reviewer Note: To satisfy §5203 of the ESEA—CSP Grant, the educational program description should include information (ii) the grade levels or ages of children served.

⁶ Reviewer Note: A description of the proposed charter school’s objectives and how the methods by which the proposed charter school will determine its progress towards achieving these objectives is required component of §5203 of the ESEA—CSP Grant.

⁷ Reviewer Note: To satisfy §5203 of the ESEA—CSP Grant, the educational program description should include information about (i) how the program will enable all students to meet challenging State student academic achievement standards.

- present a clear, credible, and sound plan for measuring and reporting the educational performance and progress of individual students, cohorts, and the charter school as a whole including valid and reliable measures of student outcomes;
- explain how the school will use assessment data to drive key decisions aimed at improving academic outcomes;
- demonstrate understanding of and commitment to compliance with assessment requirements applicable to all state public schools consistent with state law and relevant policies of the Board of Regents including the New York State Testing Program, as applicable.

E. School Climate and Discipline

Applicant Instructions: Describe the strategies the school will employ to develop and sustain a safe and orderly school climate that supports fulfillment of the educational goals. Explain the school's approach to student behavior management and discipline for both the general student population and for students with special needs. Explain how the school will encourage parent/family involvement and communication to support student learning, and how it will gauge satisfaction with school climate.

Evaluation Criteria:

A response that meets the standard will

- describe an approach to student discipline that is reasonably likely to promote a safe and orderly learning environment;
- outline a clear strategy for engaging parents⁸ and guardians in the governance, life and culture of the school; and
- include evidence that the school will ensure a safe environment conducive to learning.

II. ORGANIZATIONAL PLAN

The Organizational Plan should provide an understanding of how the school will be operated, beginning with its governance and management⁹. It should present a clear picture of the school's operating priorities, delegation of responsibilities, and relationships with key stakeholders.

A. Governing Body

Applicant Instructions: Describe the proposed structure of the school's Board of Trustees and how the Board of Trustees will fulfill its governance responsibilities. Articulate the roles and

⁸ Reviewer Note: A description of how parents and community will be involved in the proposed charter school is a required element of §5203 of the ESEA—CSP Grant.

⁹ Reviewer Note: To satisfy §5203 of the ESEA—CSP Grant, the Organizational Plan should describe how the proposed charter school will be managed.

responsibilities of a charter school board of trustees, and provide a job description for members of the board of trustees. Submit a copy of the proposed by-laws and code of ethics.

Required Attachment 5 and Attachment 6:

- Proposed corporate by-laws
- Proposed Code of Ethics

Evaluation Criteria:

A response that meets the standard will

- demonstrate a clear understanding of the roles and responsibilities of a charter school board of trustees; and
- present proposed by-laws that meet the requirements of Education Law and all applicable laws and regulations governing education corporations in the State of New York – including, but not limited to, provisions for publicizing and conducting board meetings; conflict of interest and financial disclosure provisions for board members; and a code of ethics for board members.

B. Founding Group Composition

Applicant Instructions: List the members of the proposed founding group (including the lead applicant). Include their names, current employment, and relevant experience or qualifications. If founding group members intend to serve on the school’s board, clearly indicate those intentions and further describe their relationship to the community in which the school will be located. Describe the procedures for conducting and publicizing monthly board meetings and the processes to be followed to promote parental and staff involvement in school governance.

For each proposed founding group and/or board member, the application should include, as an attachment, [a resume or CV](#), a completed [Statement of Assurances](#), and a completed [Request for Information from Prospective Charter School Board Members](#) form. Describe any specific plans for recruitment of additional founding group members.

Criminal Background Check/Fingerprint Scan: The lead applicant(s) of the proposed charter school application is required to meet residency requirements and to undergo a criminal background check via a fingerprint scan as established by Education Law. Upon submission of the full application, NYSED will contact the lead applicant(s) to schedule an appointment for a fingerprint scan.

Required Attachment 7, Attachment 8, and Attachment 9:

- Prospective founding group resumes or CVs
- Completed Statement of Assurances
- Completed Request for Information from Prospective Charter School Board Members

Evaluation Criteria:

A response that meets the standard will indicate that the founding group

- has capacity to oversee the successful development and implementation of the education program presented in the application;
- has capacity to oversee the effective and responsible management of public funds;
- has capacity to oversee and be responsible for the school’s compliance with its legal obligations;
- has experience and expertise that includes K-12 education, legal compliance, real estate and facilities, financial management and accounting, fundraising and development, community engagement, and parent involvement; and
- will generally have the capacity to found and sustain a quality school.

C. Management and Operation¹⁰

Applicant Instructions: Describe the organizational structure of the school and its day-to-day operation. Explain the management roles and responsibilities of key administrators with respect to instructional leadership, curriculum development and implementation, personnel decisions, budgeting, financial management, legal compliance, and any special staffing needs.

Your response should describe the primary responsibilities for each key management position and should identify critical skills or experiences necessary to fulfill those responsibilities. Give particular attention to the roles, responsibilities, and actual qualifications if the school leader is already identified. If the school leader has not been identified, discuss the desired qualifications and discuss any plans for the recruitment and selection of the school leader.

Required Attachment 10 and Attachment 11:

- Organizational Chart that shows the staffing structure and reporting responsibilities for the board, administration and staff.
- Key position descriptions describing critical skills or experiences every employee included in the organizational chart (description can be general for core teachers). Qualifications for hiring should provide assurance that background checks and child abuse registry will be conducted for every employee in accordance with the law.

Evaluation Criteria:

A response that meets the standard will include

- clear delineation of the roles and responsibilities for administering the day-to-day activities of the school;
- demonstrated understanding of management needs and priorities; and
- a staffing plan that appears viable and adequate for effective implementation of the proposed educational program.

¹⁰ The information provided in this subsection and elsewhere throughout Section II: Organizational Plan should satisfy the require element of the §5203 of the ESEA—CSP Grant regarding how the proposed charter school will be managed.

C.1. Charter Management Organizations

Applicant Instructions:

Select the statement that is applicable and proceed as directed:

We intend to contract with a not-for-profit charter management organization. *Continue with completion of this section.*

We do not intend to contract with a not-for-profit charter management organization. *Skip to the next section.*

Pursuant to recent amendments to the Charter Schools Act, for-profit entities are not eligible to submit a proposal to establish a charter school, or to operate or manage a charter school (Education Law section 2851(1)). If the school expects to contract for services with a not-for-profit charter management organization (CMO), discuss the school's decision to work with a CMO, in general, and the selected CMO, in particular. Describe the planned relationship between the school and the CMO and how that relationship will further the school's mission and program. Provide a clear description of the services to be provided by the CMO. Describe the CMO's roles and responsibilities in relation to the school's management and proposed governing board. Describe the school's performance expectations for the CMO. In other words, how will the school evaluate CMO performance?

Required Attachments 12-16 (if applicable):

- Background information on the CMO including relevant performance data for other schools that the CMO has managed
- A list of any other schools managed by the CMO in New York with contact information
- Academic performance data from schools managed by the CMO for the past three years
- A summary of the CMO's fiscal performance for the past three years
- The services agreement as executed between the school and the CMO (or template version if not yet executed)

Evaluation Criteria:

The response should present a clear picture of the contractual relationship and accountability between the CMO and the school's governing board that is consistent with the school's mission and educational program.

A response that meets the standard will present

- a persuasive explanation of the reasons for contracting with a not-for-profit charter management organization, in general, and this provider, in particular;
- a sense of how the proposed relationship with the CMO will further the school's mission and program;
- a clear description of the services to be provided by the CMO;
- a coherent delineation of the roles and responsibilities between the school's governing board, management and the CMO;

- evidence of the capacity of the Board to conduct a thorough and independent evaluation of the CMO that is consistent with the school’s accountability requirements; and
- performance expectations for the CMO and the means by which the board will hold the CMO accountable for meeting those expectations.

D. Staffing and Human Resources

Applicant Instructions: Discuss the staffing plan for the term of the charter including anticipated staffing needs and recruitment strategies. Discuss how the school has budgeted and staffed to meet the needs of the ELL and special education student population. Discuss how the plan supports sound operation and successful implementation of the school’s educational program.

Describe the instructional skills, experience, and development that teachers will need to have in order to be successful. How are those needs reflected in the plan for teacher recruitment?

In responding to this section, consider the following questions:

- What strategies does the school have for recruiting and retaining effective teachers?
- How do the staffing-related budget assumptions align with educational program needs?
- How does the staffing plan reflect the anticipated enrollment and growth of the school?
- How will the school determine appropriate experience, training and skills of non-certificated instructional personnel?
- How will the school use student assessment data to drive key decisions aimed at the evaluation, retention and support of the teaching staff, aligned with the State’s approach to incorporating status and growth data?
- What will be the employer-employee relationship for staff at the school?

Evaluation Criteria:

A response that meets the standard will

- present strategies for recruiting and retaining effective teachers that are realistic and reasonably likely to be effective;
- demonstrate a sound understanding of staffing needs that are aligned with the budget and with the school’s anticipated enrollment;
- demonstrate a sound understanding of staffing needs with respect to successful implementation of the educational program;
- demonstrate a plan for the evaluation, retention and support of the teaching staff that is aligned with the State’s approach to incorporating student status and growth data in the evaluation and support of teachers; and
- present a plan that is reasonably likely to attract and retain effective staff.

E. Student Recruitment, Enrollment, and Evidence of Demand¹¹

Applicant Instructions: Describe the plan for the recruitment of students. Explain how the school will be publicized and marketed throughout the community to a broad cross-section of families and prospective students. What strategies will you use to reach families that are traditionally less informed about educational options?

Include an explanation and evidence to support the enrollment projections proposed during the Prospectus phase. Relevant evidence may include, among other things, the following:

- community demographic information indicating need and number of potential students);
- documentation of community or family demand for the proposed school such as letters of intent to enroll; and
- enrollment data from other charter schools currently operating in the community.

Evaluation Criteria:

A response that meets the standard will

- include an outreach and recruitment plan that demonstrates understanding of the community to be served and is likely to be effective including for families traditionally less informed about educational options;
- describe how students in the community will (i) be informed about the charter school and (ii) given an equal opportunity to attend¹²; and
- present enrollment projections that are supported by evidence of actual or potential demand.

F. Community Involvement

Applicant Instructions: Discuss your plans for parent and community involvement in the governance and operation of the school. Describe the nature of potential partnerships including examples of how community partners will play an integral part in the life of the school and identify specific organizations with which the school is already working, or likely to partner.

Describe your plans for developing community partnerships and any specific steps you have already taken. Include in your response relevant documentation such as letters of support or commitments to provide or share resources.

Evaluation Criteria:

A response that meets the standard will

¹¹ As directed by the 2010 Revisions to the Charter Schools Act, the Department and the Board of Regents will prepare guidance and draft Admissions Policies and Procedures (Enrollment Policy) as well as lottery guidance for schools. These policies, protocols and procedures will be adopted by schools during the planning year, or pre-opening period.

¹² Reviewer Note: A description of how students in the community will (i) be informed about the charter school and (ii) given an equal opportunity to attend the charter school is a required element of the §5203 of the ESEA—CSP Grant

- present a vision and strategy for parent and community involvement that is reasonably likely to further the school’s mission and program;
- provide a description of how parents¹³ and community will be involved in the planning, implementation, and design of the charter school; and
- provide evidence that anticipated partnerships are realistic and achievable.

F.1. Joint Application

The following section should be completed if the school proposes to be affiliated with a college, university, museum, educational institution, other not-for-profit organization, or other partner that is not an educational service provider. Applicants that do not plan to have such an affiliation should proceed directly to Part III, Financial Plan.

Applicant Instructions: If you are proposing to affiliate with a college, university, museum, educational institution, other not-for-profit entity, or any other partner, describe the rationale for the affiliation, the benefit that the school expects to receive from the partnership, any associated fees that will be assessed to the school, and provide the following information for each affiliated organization:

- Name of the organization;
- A letter of intent or commitment from a bona fide representative of the partner organization indicating that the organization is undertaking the affiliation and the terms and extent of the undertaking;
- The name of a contact person for the partner organization;
- Contact information (address, phone number, facsimile number, and e-mail address) for the contact person at the affiliated organization; and
- A description of the nature and purpose of the proposed affiliation including the specific purpose(s) for the affiliation (e.g., teacher training and staff development, curriculum and assessment, access to physical facilities, etc.).

Evaluation Criteria:

A response that meets the standard will

- include complete information about each affiliated partner;
- provide documentation regarding the terms of the joint partnership (including fees); and
- present persuasive evidence that the plan for the affiliation is sound and that the purpose(s) is/are likely to support achievement of the school’s mission.

¹³ Reviewer Note: A description of parental involvement is a required element of §5203 of the ESEA—CSP Grant.

III. FINANCIAL PLAN

The Financial Plan should provide an understanding of how the applicants intend to develop and manage the school's infrastructure and finances. It should present a clear picture of the school's revenue projections; expenditure requirements; facilities needs; transportation and food service plans; and pre-opening plan.

A1. Charter School Budget and Cash Flow Template

Applicant Instructions: Use the Budget and Cash Flow Template to detail the school's estimated revenues and expenditures for the proposed term of the charter including the pre-operational start up year, as well as a cash flow analysis for the start up year. An active version of the template (including accompanying worksheets) may be downloaded from NYSED's website at <http://www.emsc.nysed.gov/psc/startcharter.html>. Templates may not be amended.

Submit a separate explanation and discussion of key budget assumptions underlying the budget projections and explain how the budget aligns with and supports implementation of the educational program. If the school anticipates incurring debt for any reason, such as for acquisition of its facility, the budget must address the schedule for debt repayment and the budget discussion should elaborate on the repayment assumptions and plan.

As discussed in the cover letter on page 5, applicants are eligible, upon Regents approval of a charter and based upon the availability of funds, to receive a **Charter School Program (CSP) Planning and Implementation Grant**. Applicants may include a grant amount of up to \$600,000 over a three year period in the overall charter school budget and cash flow template. A grant specific budget narrative and a three-year budget explaining in detail how these funds of up to \$600,000 will be used is discussed in Section A2 that follows.

Discuss the school's contingency plans for cash flow challenges, a budget shortfall, lower than expected student enrollment or other financial challenges that you may foresee in the early years of operation.

A2. Budget Information for Applicants Applying for a Charter School Program (CSP) Grant¹⁴

Applicant Instructions: Please review the information in Exhibit A for instructions and guidance, and complete the required forms. Please make note of the following:

- All applicants that receive a charter from the Board of Regents **may be eligible** to receive a Charter School Program (CSP) Planning and Implementation Grant depending upon the availability of funds from the United States Department of Education under Title V, Part B of the No Child Left Behind Act of 2001. **This is not an entitlement award.**

¹⁴ The provision of information or data, including fiscal data, through annual reporting is a required element of §5203 of the ESEA—CSP Grant.

- Each applicant may apply to receive a planning and implementation grant of up to \$600,000 over a three year period.
- Applicants may include up to \$600,000 CSP over a three year period in the overall budget of the proposed charter school as set forth in the section A1. Please note that the start-up budget for the proposed charter school must stand alone and be viable without a CSP award. **The proposed charter school must be fiscally viable and solvent without this award.**
- Applicants must provide a separate budget narrative for the CSP grant, prepare a proposed budget using the FS-10¹⁵ Form, and prepare a budget summary using the FS-20 in Exhibit A to explain how the grant will be expended in the first year of the grant only. [Prior to the second and third years of the grant, each charter school must submit a FS-10 budget for how the grant funds will be spent that year]. Budget amounts do not have to be split equally between the budget periods as long as the expenditures are allowable and reasonable.
- Applicants must include in a description in the CSP grant budget narrative of how these grant funds will be used in conjunction with other federal programs administered by the US Department of Education.

Discuss the school’s contingency plans for cash flow challenges, a budget shortfall, lower than expected student enrollment or other financial challenges that you may foresee in the early years of operation.

Required Attachment 17 and CSP Budget Forms

- Budget and Cash Flow Template
- CSP Grant Budget Narrative in Exhibit A
- FS-10 CSP Budget Form in Exhibit A
- FS-20 CSP Budget Form in Exhibit A

Evaluation Criteria:

A response that meets the standard will

- present budget priorities that are consistent with and support key parts of the plan, including the school’s mission, educational program, staffing and facility;
- present realistic, evidence-based revenue and expenditure assumptions, including any plan to incur and repay debt;
- present viable strategies for meeting potential budget and cash flow challenges, particularly for the first year of operation; and
- demonstrate a commitment to maintaining the financial viability of the school.

B. Financial Management

¹⁵ The FS-10 is a required budget form that applicants use to present a proposed budget for a federal or state project; and the FS-20 is used to present a summary of the proposed budget for a federal or state project.

Applicant Instructions: Describe the systems and procedures for managing the school's finances and identify the staff position(s) that will be responsible for financial oversight and management. Describe how the school's finances will be managed and who will be responsible for the protection of student and financial records. Your response should address, among other things, the school's plans in the following areas:

- provisions for an annual independent financial audit;
- development and dissemination of an annual financial report; and
- providing recommended liability insurance to indemnify the school, its board, staff and teachers against tort claims.

Evaluation Criteria:

A response that meets the standard will

- demonstrate understanding of the school's financial management obligations;
- present evidence that the school is prepared to adhere to generally accepted accounting practices;
- present evidence that the school will have or has capacity to develop adequate policies and processes for tracking enrollment and attendance eligibility, eligibility for free- and reduced- priced lunch; special education and limited English proficient enrollment; and
- demonstrate preparation to meet its insurance, annual audit, annual financial report and other key financial management obligations.¹⁶

C. Facility

Applicant Instructions: Discuss the school's facility needs based on the educational program and anticipated enrollment. If the applicants have identified a facility, indicate the location (street address, city, and zip code) and provide a description including, at a minimum, the number and size of the classrooms, common areas, administrative areas, recreational space, any community facilities, and any residential facilities necessary to implement the program as described. Explain how the facility will meet the needs of students and provide an assurance that it will be accessible to students with physical disabilities.

If the school intends to lease facilities from a school district or co-locate in an existing public school building pursuant to Education Law section 2853(3)(a), discuss the status of those plans and provide evidence of any district commitment. If the school intends to operate more than one school or house any grade at more than one site, please so indicate.

To the extent that the facility will require renovation or "build out," describe those plans including anticipated timing and cost.

¹⁶ Applicants must address each of the bulleted items which are required elements of the §5203 of the ESEA—CSP Grant.

If the school anticipates incurring debt as part of its facilities acquisition plan, the budget must include a repayment plan, as indicated in the Budget section, above.

If a facility has not been selected, specify potential locations that are under consideration and discuss the process and time line for selecting, acquiring, renovating (if appropriate), and taking occupancy of a suitable facility.

For applicants planning to locate a charter school in New York City, please refer to [page 8](#) for information regarding the availability of public space.

Evaluation Criteria

A response that meets the standard will

- reflect a sound understanding of facilities needs;
- demonstrate knowledge of facilities costs including, as applicable, cost of purchasing, leasing, building, or renovating an educational facility that conforms to applicable health, safety, and occupancy requirements;
- present evidence to support facilities-related budget assumptions;
- include evidence that the proposed facility will be adequate *or* present a plan for securing a facility that is appropriate and adequate for the school's educational program, anticipated location, and target population; and
- demonstrate that the school's plan for acquisition of a facility is financially viable.

Please note:

If the proposed charter school plans to be located in a school district outside of New York City, NYSED must approve its plans and specifications. NYSED must also issue a certificate of occupancy prior to the school beginning operation. Just as traditional public schools, the charter school would have to comply with all health, safety, sanitation, local zoning, land use and building code requirements.¹⁷

If the proposed charter school plans to be located in New York City in private space, the school would have to comply with NYSED's health, safety and sanitation requirements to the same extent as traditional public schools.

It should be noted that before a charter school can be located or co-located in public school space in New York City, the New York Schools Chancellor must identify public school buildings that may be used for that purpose. The Chancellor must make that information, along with the rationale for the identification, publicly available and provide notice of such availability. In addition, the Chancellor must also develop a building usage plan.

Applicants seeking to establish charter schools in New York City should also be aware that in each public school building in which one or more charter schools are located or co-located, a shared space committee must be established. The committee must meet at least four times per year to review the implementation of the building usage plan. The committee is to include the principal, a teacher and a parent from each co-located school. A methodology for selecting the parent should be included in the response.

Applicants seeking to establish charter schools in New York City should also be aware that the New York City Schools Chancellor must authorize in writing any proposed capital improvements or facility upgrades in excess of \$5,000 (regardless of the funding source) made to accommodate the location/co-location of a charter school in a public school building. For each authorized improvement or upgrade, an equal amount must be spent on improvement or upgrades on each non-charter school in the NYCDOE space.

D. Transportation

Applicant Instructions: State whether the school intends to provide transportation for students who do not otherwise qualify for transportation under Education Law Section 3635. If so, describe the transportation plan and explain budget revenue and expenditure assumptions. In

¹⁷ NYSED may grant specific exemptions in cases where the school provides evidence that compliance to the requirements would result in undue economic hardship or is otherwise extremely impractical for the proposed charter school. To be considered for an exemption, the school would also have to demonstrate that it exerted effort to overcome the stated obstacles. However, at this time there is no guidance regarding such exemptions and one should **not** rely on receiving an exemption.

preparing your response, please carefully consider the transportation plan for non-public school students in the district that you propose to locate.

Evaluation Criteria:

If the applicants have elected to provide transportation, a response that meets the standard will

- present a thorough, realistic, and cost-effective transportation plan; and
- provide specific evidence of third party readiness and terms for providing transportation services consistent with the school’s budget assumptions.

If the applicants have elected not to provide transportation, a response that meets the standard will

- present a clear statement of the school’s intent not to provide transportation services;
- describe viable transportation options for students; and
- describe contingency plans for students requiring transportation due to a physical disability.

E. Food Service

Applicant Instructions: Describe the food services that the charter school will provide to students, including whether the school will provide breakfast and/or snack in addition to lunch. Indicate whether the charter school will participate in the Federal school lunch or school breakfast programs. Further indicate whether the charter school will participate in the local school district’s food service programs and whether food will be prepared on or off site. Ensure that the proposed budget reflects revenues and costs associated with the school’s food service program.

Evaluation Criteria:

A response that meets the standard will

- present a well thought-out food service plan designed to meet the needs of the school’s target population; and
- provide realistic budget assumptions associated with such a plan.

F. Insurance

Applicant Instructions: Provide evidence of ability and preparation to obtain liability insurance coverage (minimum A- BEST rating) in the following areas:

- Directors' and Officers' Liability
- Commercial General Comprehensive Liability
- Educators' Legal Liability
- Employment Practices Liability
- Sexual Abuse Liability (separate policy or a separate part of general comprehensive insurance with independent limits)

- Automobile Liability
- Excess Liability or Umbrella (i.e., bundled commercial general liability, directors' and officers' liability, legal liability, employment practices liability, automobile liability, and sexual abuse liability)
- Workers Compensation Liability
- Surety bond for the school's chief financial officer in an amount to be determined based on the cash flow of the school.

Include evidence to support the budget expense assumptions related to insuring the schools such as copies of broker or agency estimates.

Evaluation Criteria:

A response that meets the standard will

- provide evidence of requisite insurance coverage or ability to obtain requisite insurance coverage
- include evidence of requisite surety bond for school CFO or ability to obtain requisite surety bond

G. Pre-Opening Plan

Applicant Instructions: Provide a Pre-Opening Plan that documents key tasks to be completed between approval of the application and opening of the school. Include a schedule for initiation, development and completion of those tasks, identify primary responsibility by individual or position, and document anticipated resource needs. *Please note: NYSED may recommend or require applicant groups to take a planning year in order to have sufficient time to complete pre-opening and other requirements.*

Evaluation Criteria:

A response that meets the standard will demonstrate understanding of key pre-opening responsibilities consistent with the school's education, organizational and financial plans.

IV. TABLE OF REQUIRED ATTACHMENTS

Attachment Number	Title
Attachment 1	Roster of Key Contacts
Attachment 2	Certification Statement
Attachment 3	Sample Daily Schedule
Attachment 4	Proposed Annual Calendar
Attachment 5	Proposed Corporate By-laws
Attachment 6	Proposed Code of Ethics
Attachment 7	Resumes/CVs of Prospective Founding Group Members
Attachment 8	Statement of Assurances
Attachment 9	Requests for Information from Prospective Charter School Board Members
Attachment 10	Organizational Chart
Attachment 11	Key Position Descriptions
Attachment 12	CMO Background Information
Attachment 13	Schools Managed by CMO
Attachment 14	Academic Performance Data from Schools Managed by CMO
Attachment 15	Summary of CMO's Fiscal Performance for Past Three Years
Attachment 16	Template Service Agreement with CMO
Attachment 17	Budget and Cash Flow Template
Exhibit A	Charter School Program (CSP) Grant Application and Attachments

Attachment 2: Certification Statement

Proposed Charter School Name _____

Proposed School Location (District) _____

I hereby certify that the founding group/prospective Board of Trustees have all read Article 56 of the New York State Education Law, and understand the relationship between a charter school and the authorized chartering entity as defined in that statute. By submitting a charter school application to the Board of Regents, the prospective Board of Trustees understands that the Board of Regents is the authorized chartering entity with the authority to approve our application to establish the proposed charter school and enter into an agreement with us, as the Board of Trustees, setting forth the terms and conditions under which we, the Board of Trustees, will operate the charter school.

I hereby certify that the information submitted in this application is true to the best of my knowledge and belief; and further I understand that, if awarded a charter, the proposed school shall be open to all students on a space available basis, and shall not discriminate on the basis of race, color, national origin, creed, sex, ethnicity, sexual orientation, mental or physical disability, age, ancestry, athletic performance, special need, proficiency in the English language or a foreign language, or academic achievement. I also certify that I am an eligible to apply for a charter under the requirements of Education Law. This is a true statement, made under the penalties of perjury.

Signature of Lead Applicant/
Authorized Person _____ Date _____

(Please label the copy that has original signatures)

Print/Type Name _____

Address _____

Daytime Phone: _____ Email: _____

Attachment 8: Statement of Assurances for Each Board Member Applicant

A Statement of Assurance must be signed by and submitted for each Board Member Applicant.

I, _____, (print name of board member applicant) state that I am the applicant for board member approval and I have read the questionnaire and any supporting documents and know the contents thereof; that the same is true to my knowledge except as to the matters therein stated to be alleged upon information and belief, and as to those matters I believe it to be true and further acknowledge that I am aware of the fact that, pursuant to the New York Penal Law, a person who knowingly offers a false instrument for filing to a public official or public servant may be subject to criminal prosecution, including for the crimes of Offering a False Instrument for Filing in the 2nd Degree, a Class A Misdemeanor, or, if there is intent to defraud, of Offering a False Instrument for Filing in the 1st Degree, a Class E felony.

Signature

Date

Attachment 9: Request for Information from Prospective Charter School Board Members

Each Prospective Charter School Board Member must provide the Information requested in the next three pages.

Name: _____
(Include preferred honorific.)

Daytime Telephone: _____

Home Mailing Address: _____

Personal E-Mail/Fax: _____

Business Address: _____

Business E-Mail/Fax: _____

Charter School Name: _____

Charter School Address: _____

To which charter school board position and/or office are you asking to be appointed? (e.g., parent representative, vice-president, Finance subcommittee, etc.):

As you may know, serving on a public charter school board of trustees (“board”) is a position of great trust and responsibility. As a member of a public charter school’s board, you would be charged with overseeing the education of all students enrolled in the school, as well as the expenditure of public monies directed to the charter school.

The Department’s consent is required **before** any new member may serve on the board. Accordingly, and in order to properly evaluate potential new board members, we ask that you please provide full and complete answers to each of the items below and provide the required assurance indicated. Note that providing false, misleading, and/or incomplete information may lead to a withdrawal of the Department’s approval, nullifying your appointment to the board.

Background

1. Please provide your educational and employment history. You may do so by attaching a résumé. Resume Attached
2. Please affirm that you are or will be at least eighteen years old at the time of your appointment/election to the board. I affirm.
3. Please affirm that you have read Article 56 of the New York State Education Law, and understand the relationship between a charter school and the authorized chartering entity as defined in that statute. I affirm.
4. Please indicate how you became aware of the charter school and the opportunity to serve as a member of its board.
5. Please explain why you wish to serve on the board.
6. Please indicate whether you have previously served or are currently serving on a board of a school district, a non-public school or any not-for-profit corporation (to the extent not otherwise indicated in your response to Item 1, above). In addition, please describe any other experience, knowledge or skills you feel is relevant to service on the charter school board. This does not apply to me. Yes. (Include description here):
7. Please indicate whether or not you have ever been convicted of a misdemeanor and/or felony in state or federal court in any jurisdiction.
 This does not apply to me. Yes.
If the answer to this question is yes, please provide the following details regarding your conviction(s): (1) the name of the criminal offense(s); (2) whether the criminal offense(s) was a misdemeanor or felony; (3) the facts and circumstances surrounding your conviction(s); (4) the date(s) of your conviction(s); and (5) the date(s) of disposition(s).

Your response to question six may also include any relevant written information that you wish to be considered in support of your application, including, but not limited to: certificates of conviction; any parole and/or probation documentation; any certificates, including any certificate of relief from disabilities; any proof of counseling and/or rehabilitation; any documentation attesting to your good conduct or your good character; and any letters of support from friends, family, co-workers, employers, etc.
7. Please indicate if you currently have any criminal charge(s) pending against you in state or federal court in any jurisdiction.
 This does not apply to me. Yes.
If the answer to this question is yes, please provide an explanation.

Conflict of Interest

8. Please indicate whether you, your spouse, or other family member knows any of the other prospective or current board members.
 I / we do not know any such persons. Yes.
If your answer is yes, please indicate the precise nature of your relationship here:
9. Please indicate whether you, your spouse, or other family member knows any person who is a prospective or current charter school employee.
 I / we do not know any such persons. Yes.
If yes, please indicate the precise nature of your relationship here:
10. Please indicate if you, your spouse, or other family member or any corporation, business or other entity in which you, your spouse or other family member serve as an employee, officer, or director or own a controlling interest in, contracts or does business with, or plans to contract or do business with, the charter school, including but not limited to, the lease of real or personal property to the charter school.
 No. Yes.
If yes, please describe the nature of the contract or business and, if applicable, the relationship of the person to the corporation, business or entity involved:
11. If the charter school is partnered with an educational service provider (a management company, whether for-profit or not-for-profit), please indicate whether you, your spouse, or any family member knows any employees, officers, owners, directors or agents of that provider. If your answer is in the affirmative, please describe any such relationship.
 Not applicable because the School does not/will not contract with a management company or charter management organization.
 I / we do not know any such persons. Yes.
12. If the charter school is partnered with an educational service provider, please indicate whether you, your spouse or other family member has a direct or indirect ownership, employment, contractual or management interest in the provider. For any interest indicated, please provide a detailed description.
 Not applicable because the School does not/will not contract with a management company or charter management organization.
 I / we have no such interest. Yes.
13. If the charter school is partnered with an educational services provider, please indicate if you, your spouse or other family member anticipates conducting, or is conducting, any business with the provider. If so, please indicate the precise nature of the business that is being or will be conducted.
 Not applicable because the School does not/will not contract with a management company or charter management organization.
 I / we do not anticipate conducting any such business. Yes.

14. Please indicate whether you, your spouse or other family member is a director, officer, employee, partner or member of, or is otherwise associated with, any organization which filed an application in conjunction with the charter school, i.e., is partnered with the charter school. To the extent you have provided this information in response to items 9-12, you may so indicate. This does not apply to me, my spouse or other family members. Yes.

15. Please indicate the potential ethical or legal conflicts of interests (if any) that would, or are likely to, exist should you be approved for service on the charter school's board.
 None. Yes.

16. Please explain how you would handle a situation in which you believe one or more members of the charter school's board are involved in working for their own benefit, or the benefit of their friends and family.

Educational Philosophy

17. Please explain your understanding of the charter school's mission and/or philosophy.

18. Please explain your understanding of the educational program of the charter school.

19. Please indicate what you believe to be the characteristics of a successful charter school. In particular, please provide the specific steps you think the board of the charter school will need to take to ensure that this charter school is and remains successful.

Other

20. Please explain your understanding of the appropriate role of a public charter school board member.

21. Please affirm that you have read and understand the charter school application, the charter school board's by-laws and all proposed policies.

22. Please provide any other information that you feel is pertinent to the Department's review.

Phase IV: Capacity Interview

Interview/s	Interview with Founding Groups/Proposed Board of Trustees NYSED staff may conduct interviews with the applicant, the founding group and/or proposed Board members for each proposed school. Comments and questions from the application review process, public hearings, due diligence conducted by NYSED staff, and any aspect of the original submission will serve as a basis for the interview. This interview/s will be one piece of data that the Board of Regents considers when approving or denying charter applications.	
Who	Applicant Group	Office of Innovative School Models
Participants should only be those individuals who will be directly responsible for the implementation of the proposed charter school.	<ul style="list-style-type: none"> • Founding Group • Proposed school administrator/s • Proposed Board members ONLY 	<ul style="list-style-type: none"> • Senior NYSED Staff • Charter Schools Office Staff and • any other representative designated by the Commissioner
What	All interview participants are expected to engage with the interview panel. The interview panel seeks to determine the extend to which the participants have demonstrated the will, skill and capacity to successfully implement elements and achieve the proposed measurable pupil outcomes described in the proposed charter application.	The panel will ask and seek responses to questions or concerns generated through the review process, as well as those surfaced during the public hearing. Questions may cover governance and management, educational program, fiscal oversight, and general capacity to fulfill the elements described in the proposed charter school design and plan.
When	May 2011	
Where	NYSED 89 Washington Avenue Albany, New York 12234	NYSED 55 Hanson Place Brooklyn, New York 11217

Appendices

APPENDIX A: FORMATTING AND SUBMISSION REQUIREMENTS

The **Prospectus** should adhere to the following formatting requirements:

- One hard copy on white, 8.5" x 11" paper, by mail or hand-delivery to:

NYSED Office of Innovative School Models
89 Washington Avenue
Room 475 EBA
Albany, New York 12234

- One electronic version submitted to charterschools@mail.nysed.gov. Subject line of the Email should read: Prospectus: [insert name of proposed school]
- One-inch margins on all sides
- Minimum 11-point font
- Single-spacing
- **Page limit:** 20 pages, including executive summary

The Prospectus must be received by our office no later than **5 p.m. on January 31, 2011.**

The **Full Application** should adhere to the following formatting requirements:

- One hard copy on white, 8.5" x 11" paper by mail or hand-delivery to:

NYSED Office of Innovative School Models
89 Washington Avenue
Room 475 EBA
Albany, New York 12234

- One electronic version submitted to charterschools@mail.nysed.gov. Subject line of the Email should read: Full Application: [insert name of proposed school]
- One-inch margins on all sides
- Minimum 11-point font
- Single-spacing
- **Page limit:** 40 pages plus Required Attachments and Forms (not to exceed 75 pages)

The Full Application must be received by our office no later than **5 p.m. on March 31, 2011.**

DEFINITIONS

What is a charter school?

A charter school is a public school. It is financed through public local, state, and federal funds but is independent of local school boards. The authority of the charter school to provide education is through a "charter," a type of contract, between the charter school board of trustees and its chartering entity. Charter schools typically focus on innovative curricula, a new approach to school organization, or some other features that differentiate them from traditional district schools. Students may choose to attend any charter school and are accepted through an application procedure.

What are the purposes of charter schools?

Charter schools as defined in New York may be created to:

- Improve student learning and achievement;
- Increase learning opportunities for students who are at-risk of academic failure;
- Encourage the use of different and innovative teaching methods;
- Create new professional opportunities for educators;
- Provide parents and students with expanded choices in the types of educational opportunities that are available within the public school system; and
- Provide schools with a method to change from rule-based to performance-based accountability systems.

APPLYING FOR A CHARTER

Who can open a charter school in New York?

An application to establish a charter school may be submitted by teachers, parents, school administrators, community residents or any combination thereof. Such application may be filed in conjunction with a college, university, museum, educational institution, or not-for-profit corporation, but may also be filed independently. A charter school may be authorized to operate for a maximum duration of five years, and may be authorized to have a planning year before the charter school opens for instruction. A charter may be renewed for subsequent periods not to exceed five years each.

May an application that has been submitted be withdrawn?

Yes. A decision by an applicant to withdraw an application requires a written request on letterhead signed by the lead applicant and submitted to the Office of Innovative School Models prior to final action by the Board of Regents. If an application is withdrawn at any time subsequent to its submission to the Board of Regents, that application nonetheless remains a public record.

Who will review and evaluate charter school applications and the capacity of founding groups?

NYSED OISM's staff and/or designees of the Commissioner will provide an initial review of the Prospectus and Application based on the guidance provided in this Application Kit. Questions raised as a result of the review process regarding application content and the capacity of the founding group will serve as the basis of the capacity interviews. Any legal issues identified upon review of the charter applications will be referred to legal counsel for NYSED for review.

Will the Board of Regents give preference to certain kinds of applications and applicant groups?

Preference will be given to those applications and applicant groups that demonstrate the greatest probability of creating public charter schools of the highest quality by meeting the comprehensive criteria of the Board of Regents' rigorous application process. In addition, applicants must meet the criteria set out in the Charter Schools Act and the 2010 revisions to the Act.

On what grounds may a charter application be denied?

Applications that do not meet the submission criteria outlined in New York statute will not be recommended for approval. Applications and the capacity of applicant groups to establish a successful charter school are judged on the prospectus and application materials, the capacity interviews, and additional research and due diligence conducted by staff, which may include criminal background checks and employment references of proposed governing board members and school administrators. The Office of Innovative School Models will not recommend that the Board of Regents award charters to applicant groups whose applications do not demonstrate a sound educational program as defined in the application, or that do not demonstrate the capacity to successfully implement the proposed educational program.

If a charter entity rejects a charter application, can the applicant appeal?

No. If a charter entity denies an application for a charter school, the denial is final and not reviewable to any authority, including a court of law. However, the applicant may apply to other charter entities.

OPERATING AS A BOARD OF REGENTS AUTHORIZED CHARTER SCHOOL

Legal Requirements

What happens after a school has received a charter from the Board of Regents?

Upon approval of an application, the **Board of Regents** enters into a contract with the charter school. The charter sets forth the terms and conditions under which the charter school is approved to operate. The approved charter contract is the final document outlining the terms and conditions of the relationship between the Board of Regents and the governing board of the charter school. An approved charter may be delayed in opening for up to one year and may be subject to revocation if specified pre-opening conditions are not met.

What is the allowable extent/duration of a charter?

Charters may be issued for a term of up to five years and may be renewed for additional five-year periods.

Under what conditions may a charter be revoked or terminated?

A charter entity or the Board of Regents may revoke a school's charter for serious violations of law, or for violation of the charter, including academic underperformance and fiscal mismanagement.

Is a charter school subject to the same laws and regulations as other public schools?

No. The charter school is subject to the same health and safety, civil rights, and student assessment requirements as other public schools, but is exempt from all other State and local laws, rules, regulations, or policies governing public or private schools, other than the provisions of Article 56 of the Education Law regarding charter schools.

Will the people who teach at charter schools have to be certified by New York State?

At least 70 percent of teachers must be certified. The number of uncertified teachers employed by a charter school may be no more than 30 percent or 5 teachers, whichever is less. Certified teachers who teach outside of their certification area are not counted in determining the permissible number of uncertified teachers. The permissible exemptions are listed in Article 56 of the Education Law.

Charter School Oversight**Who oversees charter schools?**

The charter entity that approved the charter school and the Board of Regents may exercise oversight over the charter school.

Student Enrollment**Who can enroll in a charter school?**

Any child who is qualified under the laws of this State for admission to a public school is qualified for admission to a charter school. Immunization requirements for enrollment in the public schools, as health and safety requirements, will apply to charter school students.

On what basis may a charter school select students?

In general, a charter school may establish no admissions requirements except that students meet the age or grade level requirements specified in its charter. However, a charter school may be formed as a single-sex school or as a school designed to serve at-risk students, and in such circumstances may limit admissions to students of a single gender or who are at-risk of failure in school, unless such action would constitute impermissible discrimination under federal law. In addition, a charter school may deny admission to a student who is currently under suspension or expulsion by another public school until the period of suspension or expulsion has expired.

A charter school may provide admissions preference, for example, to students returning to a charter school, siblings of children attending a charter school, students who are at-risk, and children residing in the local school district.

Are charter schools required to enroll children with special needs?

Yes. A charter school shall not discriminate against any student on the basis of ethnicity, national origin, gender, or disability.

What if more students apply than a charter school can enroll?

If the number of applicants exceeds the number of available seats, a random public lottery, must be held.

Funding and Facilities

How much money do charter schools receive?

The amount depends on the number of students the charter school serves and the approved operating expense (based on local, State, and federal funds) of the various districts of residence of those students. If the charter school provides special education programs and services to its students, rather than have such services provided by the school districts of residence, the charter school will also receive any State or local aid in proportion to the level of services provided. Money follows students to the charter school.

Are charter schools entitled to federal funds?

Yes. As public schools, charter schools are eligible for federal funds that go to public schools such as IDEA and Title funds (I, II, etc)

Can charter schools use funds to lease facilities?

Yes. However, the charter school may not use per pupil funding to directly pay for construction costs. Charter schools may use per pupil funding to pay for lease payments, mortgage payments, rents and other operational costs bundled or associated with these facilities payments.

What funds are available to cover the start-up costs of charter schools?

In addition to any private donations a charter school might receive for start-up costs, charter schools may apply to the charter school stimulus fund for funds appropriated to assist charter schools with start-up costs, which may include facilities costs. (Please refer to Appendix B2 for Questions and Answers related to the CSP Planning and Implementation Grant).

By what point in the application process should an applicant secure a facility?

During the application process, applicant groups must demonstrate the capacity to ensure acquisition and availability of appropriate facilities. Ultimately, founding groups must demonstrate to the Board of Regents that they have satisfied pre-opening requirements (including a facility) prior to receiving final authorization to open the school.

APPENDIX B2: FREQUENTLY ASKED THE CSP PLANNING AND IMPLEMENTATION GRANT

What defines the planning period and implementation period of a CSP Grant? Planning is defined as the period from the time the grant award is made to the day before the school opens for instruction. Implementation is defined as the day the school opens for instruction.

What is the start-up period? Start-up is a period contained within the planning period. Start-up runs from the time the grant award is made until June 30 of the year in which the charter school opens for instruction.

How are allowable expenses determined? Allowable expenses are statutory under §5203 of the Elementary and Secondary Education Act as Reauthorized by the No Child Left Behind Act of 2001 and OMB circular A-87.

Can planning and implementation periods overlap or must the implementation period begin after the end of the planning period? Planning and implementation periods cannot overlap. Planning ends the day before implementation begins which is the day the school opens for instruction.

Is there a limit to how much can be applied for/received in each fiscal year within the grant period? The maximum award for a planning and implementation grant is up to \$600,000 for up to 36 months. Applicants may allocate monies using their discretion as long as the allowable activities during each of the planning and implementation phases have reasonable costs allocated to them.

Does a school need to complete a Vendor Responsibility Questionnaire at the time of submitting the application or will it be able to fill one out upon notification that it has been selected for a grant? The Vendor Responsibility Questionnaire is not part of the application process. This form will need to be completed as part of the contract approval process once the school has received notification of an award.

Can CSP funds be used to repay loans taken out by the planning team or school prior to the charter issuance for purposes which would be allowable expenses under the grant? If so, must these loans be commercial loans? Is there any distinction between repaying the principal and repaying interest? CSP funds can be used only for activities that occur during the beginning and ending of an award period. CSP funds may never be used to repay loans.

Can the school use the grants funds to pay for salaried staff during a planning year? Yes, in some instances. First, payment for salaries is allowed during the start-up period during the planning phase. Secondly, the intent of the grant is to assist with a “skeleton crew” such as a principal or assistant principal, a secretary, or a few staff members, not a fleet of staff. Thirdly,

if the charter school has included in its approved charter budget some start-up monies to pay for such salaries, then these grant monies cannot also be used for the same purpose.

If you have **questions** specific to the **CSP PLANNING AND IMPLEMENTATION GRANT**, please contact us at 518-474-1762 or submit your question to charterschools@mail.nysed.gov with CSP Grant in the subject line.

Appendix C: Prospectus Evaluation Rubric

Reviewer Name:

Review Date:

Proposed School Name:

Prospectus Code:

District of Location:

I. Executive Summary

Executive Summary Evaluation Criteria:

A response that meets the standard will

- present a compelling 1-2 sentence mission statement that defines the purpose of the school;
- describe the school’s key design elements and unique characteristics (if any); and
- include a persuasive explanation of the founding group’s capacity to effectively launch, oversee and govern the school.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

II. Student Enrollment

C. Student Enrollment Evaluation Criteria:

A response that meets the standard will

- present projected enrollment numbers for the first five years of operation.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

D. Target Populations Evaluation Criteria:

A response that meets the standard will

- demonstrate understanding of the target population;
- present a plan for attracting, serving, and retaining such students in numbers that are comparable to that or greater than the existing school district;
- demonstrate understanding of and capacity to meet state and federal requirements regarding identification and education of the likely ELL population;
- demonstrate understanding of and capacity to meet state and federal requirements regarding the identification and education of students with disabilities; and
- include an outreach and recruitment plan that demonstrates understanding of the community to be served and is likely to be effective including for families traditionally less informed about educational options.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

III. School Design

Evaluation Criteria:

A response that meets the standard will

- Include a persuasive explanation of how the proposed school design and founding group are likely to accomplish each of the eligibility requirements found in Education Law section 2852(9)(a);
- present evidence of school design success (if drawing on existing school models); and
- present research or other information that supports the efficacy of your school design (if your school design does not have a precedent).

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

PROSPECTUS ANALYSIS SUMMARY

Inadequate	Approaches	Meets	Exceeds

Analysis Summary

Appendix D: Application Evaluation Rubric

Proposed School Name: _____

Reviewer Name: _____ **Review Date:** _____

This template is designed to guide review of charter school applications submitted to the Board of Regents. Throughout the evaluation, you will be asked to rate the applicant’s response as Inadequate, Approaches, Meets, or Exceeds.

Inadequate	Approaches	Meets	Exceeds

Criteria for each section define the qualities of an “Exceeds” response in relation to the specific topic. In addition, the following rating definitions should guide your assessment:

Inadequate	The response lacks meaningful detail; demonstrates lack of preparation; or otherwise raises substantial concerns about the applicant’s understanding of the issue in concept and/or ability to meet the requirement in practice.
Approaches	The response addresses most of the selection criteria, but lacks some meaningful detail and requires important additional information in order to be reasonably comprehensive.
Meets	The response indicates solid preparation and grasp of key issues that would be considered reasonably comprehensive. It contains many of the characteristics of a response that excels even though it may require additional specificity, support or elaboration in places.
Exceeds	The response reflects a thorough understanding of key issues and indicates capacity to open and operate a quality charter school. It addresses the topic with specific and accurate information that shows thorough preparation and presents a clear, realistic picture of how the school expects to operate.

At the end of each section, you will identify “Criteria Satisfied” and “Criteria Not Sufficiently Addressed, Concerns & Additional Questions.” Those sections allow you to explain and elaborate on your ratings. Your comments are essential to the Office of Innovative School Models’ (OISM) understanding of your assessment. Your questions and comments are relevant to subsequent capacity interviews, and the OISM’s internal deliberations.

Evaluation Instructions

The evaluation has three parts corresponding to key aspects of the Application:

- I. Education Program**
- II. Organizational Plan**
- III. Financial Plan**

Each Part is divided into sections addressing key provisions of the quality of a charter application.

IMPORTANT:

- Read the relevant section of the Application.
- Read the evaluation criteria and mark the box that best fits your assessment of the response (*Inadequate, Approaches, Meets or Exceeds*).
- In those instances where the criteria are *bulleted*, you are expected to evaluate the criteria as a whole.
- Use the “Criteria Satisfied” text box to identify key strengths. Reference specific sections and page numbers.
- Use the “Criteria Not Sufficiently Addressed, Concerns & Additional Questions” text box to identify key concerns and to identify questions that are important to getting a full understanding of the plan. Reference specific sections and page numbers.
- Use the “Summary” boxes at the end to highlight the key strengths and concerns that you have for that Part of the Application as a whole.

I. EDUCATION PLAN¹⁸

The Education Plan should define what students will achieve; how they will achieve it; and how the school will evaluate student performance. It should provide a clear picture of the educational climate, structure, assessment, and outcomes.

A. Curriculum and Instruction¹⁹

Evaluation Criteria:

If the school intends to use curricula that have already been developed, a response that meets the standard will

- be consistent with the school’s mission and education program design;
- present a clear and coherent framework for teaching and learning -- particularly in core academic areas -- and will ensure alignment with New York State Learning Standards, inclusive of the Common Core State Standards and the New York State Testing Program;
- demonstrate understanding of relevant instructional strategies; and
- present a coherent framework for professional development that is likely to support effective implementation of the curriculum.

If the school intends to develop core curricula following approval, a response that meets the standard will

- present a viable plan for development of the curricula for core academic areas (English language arts, mathematics, science and social studies) and for ensuring alignment with New York State Learning Standards, inclusive of the Common Core State Standards and the New York State Testing Program;
- describe the framework for development of the curricula for core subjects; and
- identify a sound research, experience, or theoretical base and foundational materials that will guide curriculum development; and
- present a coherent framework for professional development that is likely to support effective development and implementation of the education program.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

¹⁸ Reviewer Note: To satisfy §5203 of the ESEA—CSP Grant, a description of the proposed charter school’s educational program is required.

¹⁹ Reviewer Note: To satisfy §5203 of the ESEA—CSP Grant, the educational program description should include information about (iii) the curriculum and instructional practices the charter school proposes to be used.

B. School Calendar and Daily Schedule

Required Attachments:

- Sample Daily Schedule for one grade in each division at which the school intends to operate [elementary, middle and/or high school] (Attachment 3)
- Proposed Annual Calendar for the first year of operation (Attachment 4)

Evaluation Criteria:

A response that meets the standard will

- Provide the number of hours and days of instruction needed to comply with the requirement of Education Law 2852(2)(n) that the charter school provide at least as much instructional time during the school year as other traditional public schools and the requirement of Education Law section 3204(4) that public charter schools be in session for 180 days under the same conditions as other traditional public schools; and
- align with the school’s educational mission and goals.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

C. Target Population

Evaluation Criteria:

A response that meets the standard will

- include a completed Anticipated Enrollment Table;
- present evidence to indicate that the enrollment projections by grade²⁰ and school-wide for each year of the charter are realistic; and
- present a persuasive explanation of how the proposed mission, curriculum, teaching methods and services are likely to meet the needs of the target population.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

²⁰Reviewer Note: A description of the proposed charter school’s objectives and how the methods by which the proposed charter school will determine its progress towards achieving these objectives is required component of §5203 of the ESEA—CSP Grant.

D. Assessment

Evaluation Criteria:

A response that meets the standard will

- align with the school’s mission, objectives, and overall educational priorities, and provide a description of the methods by which the proposed charter school will determine its progress toward achieving its objectives²¹
- demonstrate understanding of the school’s obligation to participate in the statewide system of assessment and accountability;
- demonstrate how the educational program will enable all students to meet challenging State academic achievement standards²²
- present a clear, credible, and sound plan for measuring and reporting the educational performance and progress of individual students, cohorts, and the charter school as a whole including valid and reliable measures of student outcomes;
- explain how the school will use assessment data to drive key decisions aimed at improving academic outcomes; and
- demonstrate understanding of and commitment to compliance with assessment requirements applicable to all state public schools consistent with state law and relevant policies of the Board of Regents including the New York State Testing Program, as applicable.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

E. School Climate and Discipline

Evaluation Criteria:

A response that meets the standard will

- describe an approach to student discipline that is reasonably likely to promote a safe and orderly learning environment;
- outline a clear strategy for engaging parents²³ and guardians in the governance, life and culture of the school; and
- include evidence that the school will ensure a safe environment conducive to learning.

²¹ Reviewer Note: A description of the proposed charter school’s objectives and how the methods by which the proposed charter school will determine its progress towards achieving these objectives is required component of §5203 of the ESEA—CSP Grant.

²² Reviewer Note: To satisfy §5203 of the ESEA—CSP Grant, the educational program description should include information about (i) how the program will enable all students to meet challenging State student academic achievement standards.

²³ Reviewer Note: A description of how parents and community will be involved in the proposed charter school t is a required element of §5203 of the ESEA—CSP Grant.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

II. ORGANIZATIONAL PLAN

The Organizational Plan should provide an understanding of how the school will be operated, beginning with its governance and management²⁴. It should present a clear picture of the school’s operating priorities, delegation of responsibilities, and relationships with key stakeholders.

A. Governing Body

Required Attachment:

- Proposed corporate by-laws (Attachment 5)
- Proposed Code of Ethics (Attachment 6)

Evaluation Criteria:

A response that meets the standard will

- Demonstrate a clear understanding of the roles and responsibilities of a charter school board of trustees; and
- Present proposed by-laws that meet the requirements of Education Law and all applicable laws and regulations governing education corporations in the State of New York.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

B. Founding Group Composition

Required Attachments:

- Prospective founding group resumes or CVs (Attachment 7)
- Completed Statement of Assurances for each Prospective Charter School Board Member (Attachment 8)

²⁴ Reviewer Note: To satisfy §5203 of the ESEA—CSP Grant, the Organizational Plan should describe how the proposed charter school will be managed.

- Completed Request for Information from each Prospective Charter School Board Member (Attachment 9)

Evaluation Criteria:

A response that meets the standard will indicate that the founding group

- has capacity to oversee the successful development and implementation of the education program presented in the application;
- has capacity to oversee the effective and responsible management of public funds;
- has capacity to oversee and be responsible for the school’s compliance with its legal obligations;
- has experience and expertise that includes K-12 education, legal compliance, real estate and facilities, financial management and accounting, fundraising and development, community engagement, and parent involvement; and
- will generally have the capacity to found and sustain a quality school.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

C. Management and Operation²⁵

Required Attachments:

- Organizational Chart that shows the staffing structure and reporting responsibilities for the board, administration and staff (Attachment 10)
- Key position descriptions including critical skills or experience for every employee that they intend to hire based on organizational chart (description can be general for core teachers). Qualifications for hiring should provide assurance that background checks and child abuse registry will be conducted for every employee in accordance with the law. (Attachment 11)

Evaluation Criteria:

A response that meets the standard will include

- clear delineation of the roles and responsibilities for administering the day-to-day activities of the school;
- demonstrated understanding of management needs and priorities; and
- a staffing plan that appears viable and adequate for effective implementation of the proposed educational program.

²⁵ The information provided in this subsection and elsewhere throughout Section II: Organizational Plan should satisfy the require element of the §5203 of the ESEA—CSP Grant regarding how the proposed charter school will be managed.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

C.1. Charter Management Organizations*

Required Attachments:

- Background information on the CMO including relevant performance data for other schools that the CMO has managed (Attachment 12)
- A list of any other schools managed by the CMO in New York with contact information (Attachment 13)
- Academic performance data from schools managed by the CMO for the past three years (Attachment 14)
- A summary of the CMO’s fiscal performance for the past three years (Attachment 15)
- The services agreement as executed between the school and the CMO or template version if not yet executed (Attachment 16)

Evaluation Criteria:

The response should present a clear picture of the contractual relationship and accountability between the CMO and the school’s governing board that is consistent with the school’s mission and educational program.

A response that meets the standard will present

- a persuasive explanation of the reasons for contracting with a not-for-profit charter management organization, in general, and this provider, in particular;
- a sense of how the proposed relationship with the CMO will further the school’s mission and program;
- a clear description of the services to be provided by the CMO;
- a coherent delineation of the roles and responsibilities between the school’s governing board, management and the CMO;
- evidence of the capacity of the Board to conduct a thorough and independent evaluation of the CMO that is consistent with the school’s accountability requirements; and
- performance expectations for the CMO and the means by which the board will hold the CMO accountable for meeting those expectations.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

D. Staffing and Human Resources

Evaluation Criteria:

A response that meets the standard will

- present strategies for recruiting and retaining effective teachers that are realistic and reasonably likely to be effective;
- demonstrate a sound understanding of staffing needs that are aligned with the budget and with the school’s anticipated enrollment;
- demonstrate a sound understanding of staffing needs with respect to successful implementation of the educational program;
- demonstrate a plan for the evaluation, retention and support of the teaching staff that is aligned with the State’s approach to incorporating student status and growth data in the evaluation and support of teachers; and
- present a plan that is reasonably likely to attract and retain effective staff.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

E. Student Recruitment and Evidence of Demand²⁶

Evaluation Criteria:

A response that meets the standard will

- include an outreach and recruitment plan that demonstrates understanding of the community to be served and is likely to be effective including for families traditionally less informed about educational options;
- describe how students in the community will (i) be informed about the charter school and (ii) given an equal opportunity to attend²⁷; and
- present enrollment projections that are supported by evidence of actual or potential demand.

²⁶ As directed by the 2010 Revisions to the Charter Schools Act, the Department and the Board of Regents will prepare guidance and draft Admissions Policies and Procedures (Enrollment Policy) as well as lottery guidance for schools. These policies, protocols and procedures will be adopted by schools during the planning year, or pre-opening period.

²⁷ Reviewer Note: A description of how students in the community will (i) be informed about the charter school and (ii) given an equal opportunity to attend the charter school is a required element of the §5203 of the ESEA—CSP Grant

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

F. Community Involvement

Evaluation Criteria:

A response that meets the standard will

- present a vision and strategy for community involvement that is reasonably likely to further the school’s mission and program;
- provide a description of how parents²⁸ and community will be involved in the planning, implementation, and design of the charter school; and
- provide evidence that anticipated partnerships are realistic and achievable.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

F.1. Joint Application*

The following section should be completed if the school proposes to be affiliated with a college, university, museum, educational institution, other not-for-profit organization, or other partner that is not an educational service provider. Applicants that do not plan to have such an affiliation should proceed directly to Part III, Financial Plan.

Evaluation Criteria:

A response that meets the standard will

- include complete information about each affiliated partner;
- provide documentation regarding the terms of the joint partnership (including fees); and
- present persuasive evidence that the plan for the affiliation is sound and that the purpose(s) is/are likely to support achievement of the school’s mission.

Inadequate	Approaches	Meets	Exceeds

²⁸ Reviewer Note: A description of parental involvement is a required element of §5203 of the ESEA—CSP Grant.

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

III. FINANCIAL PLAN

The Financial Plan should provide an understanding of how the applicants intend to develop and manage the school’s infrastructure and finances. It should present a clear picture of the school’s revenue projections; expenditure requirements; facilities needs; transportation and food service plans; and pre-opening plan.

A. Budget

Required Attachments:

- Budget and Cash Flow Template (Attachment 17)

Evaluation Criteria:

A response that meets the standard will

- present budget priorities that are consistent with and support key parts of the plan, including the school’s mission, educational program, staffing and facility;
- present realistic, evidence-based revenue and expenditure assumptions, including for any plan to incur and repay debt;
- present viable strategies for meeting potential budget and cash flow challenges, particularly for the first year of operation; and
- demonstrate a commitment to maintaining the financial viability of the school.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

B. Financial Management

Evaluation Criteria:

A response that meets the standard will

- demonstrate understanding of the school’s financial management obligations;
- present evidence that the school is prepared to adhere to generally accepted accounting practices;
- present evidence that the school will have or has capacity to develop adequate policies and processes for tracking enrollment and attendance eligibility, eligibility for free and reduced-priced lunch; special education and limited English proficient enrollment; and

- demonstrate preparation to meet its insurance, annual audit, annual financial report and other key financial management obligations.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

C. Facility

Evaluation Criteria

A response that meets the standard will

- reflect a sound understanding of facilities needs;
- demonstrate knowledge of facilities costs including, as applicable, cost of purchasing, leasing, building, or renovating an educational facility that conforms to applicable health, safety, and occupancy requirements;
- present evidence to support facilities-related budget assumptions;
- include evidence that the proposed facility will be adequate *or* present a plan for securing a facility that is appropriate and adequate for the school’s educational program, anticipated location, and target population; and
- demonstrate that the school’s plan for acquisition of a facility is financially viable.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

D. Transportation

Evaluation Criteria:

If the applicants have elected to provide transportation, a response that meets the standard will

- present a thorough, realistic, and cost-effective transportation plan; and
- provide specific evidence of third party readiness and terms for providing transportation services consistent with the school’s budget assumptions.

If the applicants have elected not to provide transportation, a response that meets the standard will

- present a clear statement of the school’s intent not to provide transportation services;
- describe viable transportation options for students; and

- describe contingency plans for students requiring transportation due to a physical disability.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

E. Food Service

Evaluation Criteria:

A response that meets the standard will

- present a well thought-out food service plan designed to meet the needs of the school’s target population; and
- provide realistic budget assumptions associated with such a plan.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

F. Insurance

Evaluation Criteria:

A response that meets the standard will

- Evidence of requisite insurance coverage or ability to obtain requisite insurance coverage
- Evidence of requisite surety bond for school CFO or ability to obtain requisite surety bond

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference

G. Pre-Opening Plan

Evaluation Criteria:

A response that meets the standard will demonstrate understanding of key pre-opening responsibilities consistent with the school’s education, organizational and financial plans.

Inadequate	Approaches	Meets	Exceeds

Criteria Satisfied: Strengths:	Reference	Criteria Not Satisfied: Concerns & Additional Questions	Reference