



**Department of
Education**

Dennis M. Walcott, Chancellor

CHARTER SCHOOL RENEWAL APPLICATION

Part 2 – Prospective Application
2011

NEW YORK CITY DEPARTMENT OF EDUCATION

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Overview

In the final year of its charter, a Chancellor-authorized charter school seeking renewal must demonstrate its success during its most recent charter term and establish goals and objectives for its next charter term. The renewal process offers an opportunity for the school to reflect on its experiences during its first term; to make a compelling, evidence-based case that it deserves an additional charter term; and, if renewed, to build an ambitious plan for the future.

The application for renewal consists of two parts: Part 1, the “Retrospective Analysis,” and Part 2, the “Prospective Plan,” both completed in the fall of the final year of a school’s charter.

While submitting the retrospective analysis, a school must present a compelling, evidence-based case that it has been successful during its most recent charter term. The Charter Schools Office (CSO) will review Part I and may respond with clarifying questions or requests for additional information.

The school will then submit Part 2 of the renewal application, in which the school presents a plan for the term of its next charter, including ambitious, measurable, and attainable goals as well as any requested revisions to the school’s original charter application, and responses to any conditions set for the school in previous DOE visits. Clarification questions and requests may also be requested by the CSO at this time. This bifurcated application structure is intended to clearly distinguish between a school’s report on its past performance (Retrospective Analysis) and its future plans (Prospective Plan). In order to ease the renewal planning process, the applications are designed to be completed over the course of several months.

If you have questions about the Retrospective or Prospective Application, please reach out to the Director of Oversight for your cohort.

Renewal Process Overview

This section outlines the basic sequence of events for a renewal. It is meant only to show the general structure of the renewal process. A specific timeline will be discussed during the renewal process with each individual school and may vary according to the school's charter expiration date and the school's individual situation.

Approximate Date	Renewal Component	Component Description
Summer 2011	Renewal Kickoff Phone Call	A member of CSO will discuss the process and specific timeline for the renewal process.
October 15, 2011	Part I of Renewal Application (Retrospective Application) Due	The school submits the Retrospective Application for renewal to CSO.
October-November 2011	CSO Review and Clarification	CSO members review the Retrospective Application and, if necessary, request clarifying information from the school.
December 15, 2011	Part II of Renewal Application (Prospective Application) Due	The school submits a proposed Prospective Application for renewal to CSO.
December 2011 – February 2012	CSO Review and Clarification	CSO members review the Prospective Application and, if necessary, request clarifying information from the school.
Two weeks before site visit	Pre-Visit Documentation Submission Due	The school submits documentation that will help the NYCDOE Renewal Inspection Team prepare for the site visit.
Winter-Spring 2012	Renewal Site Visit	The NYCDOE Renewal Inspection Team will visit the school for 2 to 3 days to verify and augment the information presented by the school in its written application.
Winter-Spring 2012	Public Hearing	Per the New York State Charter Schools Act, a public hearing must be held to solicit comment on the possibility of the charter renewal.
Spring 2012	Chancellor's Decision/Report of Findings	Based on a recommendation from CSO, the Chancellor makes a decision as to whether to recommend charter renewal and if so, whether there will be any conditions. If the Chancellor decides not to renew the charter, the decision is final.
Spring 2012	Submission to the New York State Education Department (NYSED)	If the Chancellor recommends renewal, CSO will submit a new charter agreement and a

		letter from the Chancellor to NYSED for review.
Spring-Summer 2012	Renewal Decision by Board of Regents	<p>NYSED will consider the Chancellor's recommendation for the proposed renewal charter and decide to reject or to recommend the proposed charter to the New York State Board of Regents.</p> <p>The Board of Regents will vote to approve or deny the proposed charter renewal agreement, and thereafter to issue a charter for the term specified.</p>

Our standard for evaluating a charter application comes from the New York Charter Schools Act [Ed.L. §§2852(2)(a)(c)]. Aligned with this, your application for a public school charter should answer the following overarching questions:

1. **How will your school be an academic success?**
2. **How will your school be a fiscally sound, viable organization?**
3. **How will your school comply with its charter and with all applicable laws and regulations?**
4. **If renewed, what is your school's plan for its next charter term?**

The information you provide in this renewal application should address these questions. The NYCDOE will use your responses to evaluate the quality of the plan and the capacity to successfully operate and sustain a quality charter school. Teams are advised to carefully review the instructions and guidelines provided below to prepare your application for submission to the NYCDOE.

Planning teams should review the amended New York State Charter Schools Act and the New York State Education Department's Technical Assistance Advisory, each of which contains the legal and policy regulations that guide operation of NYCDOE-approved charters. Links to these documents are referenced throughout the application guidelines, and are as follows:

- **New York State Charter Schools Act** <http://www.p12.nysed.gov/psc/article56.html>
- **New York State Education Department's (SED) Technical Assistance Advisory** <http://p1232.nysed.gov/psc/documents/charterrevisionTA21.09.10.seb.PDF>

Application Instructions

Length and Content Requirements

- ✓ Each copy of your application should have a Table of Contents that separate table noting the nature of the revision, where the revised language is located in the application, and when the revision was made and approved e proposed renewal charter **only**, clearly show any language to be deleted from or added to the current charter by use of tracked changes in Microsoft Word. **No changes may be made without first enabling the "Tracked Changes"**

feature. If you have questions about how to use this feature or you do not have access to MS Word, please reach out to members of your cohort.

- ✓ Include a **separate table noting the nature of the revision, where the revised language is located in the application, and when the revision was made and approved** by the CSO during the previous charter period or if the revision is being proposed for the proposed charter period. For example:

Revision	Section	Previous	Proposed
Increase in student enrollment for each grade level served	Admissions – page 15	May 2009, approved by CSO	
Admissions preference policy: adding preference for ELLs	Admissions – page 16		To take effect Sept 2012

- ✓ Respond to each section, sub-section, and information request as indicated in the guidelines. Please paginate all sections of your application, including the narrative and large exhibits.
- ✓ You may indicate “not applicable” (N/A) with a brief explanation if specific requests are not relevant to your charter school.
- ✓ In some sections of the application, you will be asked to present relevant information as a separate exhibit. Please provide exhibits after your responses to all parts of the application and not in the narrative of your application.
- ✓ You are responsible for using original information in the application unless otherwise indicated. Any information excerpted or paraphrased from other sources that is not appropriately cited may invalidate the application.
- ✓ Content must be consistent with applicable federal, state, and local laws governing New York State charter schools, including but not limited to the New York Charter Schools Act, the Individuals with Disabilities Education Act (IDEA), and the No Child Left Behind Act (NCLB). Specific requests mandated by a statute are followed by bracketed citations. Unless otherwise indicated, all references represent provisions contained in the New York State Education Law, and will be cited as such. For example, [Ed.L. §2851(1)] refers to subdivision 1 of section 2851 of the New York State Education Law. Similarly, [34 CFR 300.347] refers to Section 300, subdivision 347 of Title 34 of the Code of Federal Regulations. You should familiarize yourself with applicable laws, and specifically with the revised New York State Charter Schools Act.

Application Guidelines

- You are responsible for completing and submitting Part II of the Renewal Application electronically to the NYCDOE Charter Schools Office by 5:00pm on December 15, 2011. You must submit your application, including exhibits, electronically in Microsoft Word. If the Application is incomplete or insufficient, it may be returned, thereby prolonging the renewal process.
- Your application, not including Exhibits, should be no more than 30 pages.
- The application should have a Table of Contents and tabs for each section, including exhibits.
- All pages must be single spaced, using at least 11 point size fonts.
- You may use data provided to you by CSO, NYCDOE, or SED, either directly or via the organizations' websites, and all sources should be cited. Any data generated by your school should include citations of the sources of that data.

This application is available online at:

<http://schools.nyc.gov/charters>

Completed applications should be submitted electronically to CharterSchools@schools.nyc.gov. If the file is too large for one email, you may submit multiple emails with explanations as appropriate.

Submission of Application- Part II

- ✓ Your Part II Application should be submitted electronically to CharterSchools@schools.nyc.gov on or before the deadline in the Renewal Process Timeline, unless a different deadline is agreed on with the CSO.
- ✓ Exhibits and Attachments should be saved as separate documents from the application narrative.
- ✓ Acceptable electronic formats for the narrative, exhibits, and attachments are Microsoft Word and Microsoft Excel. Please avoid PDF / Adobe Acrobat formats unless required. PDF may be used for signed letters of support and other documents where necessary.
- ✓ NOTE: For any exhibits or documents that are exactly the same as the original, simply provide the original exhibit (updated to meet the current conditions).

A. Applicant Information

1. Name of charter school
2. Mailing address
3. Telephone number(s)
4. E-mail address
5. Name, phone number & email address of board chair
6. Name of management company (if any); Contact (name/phone/e-mail)
7. Name of partner organization (if any); Contact (name/phone/e-mail)
8. Total projected enrollment at end of new charter term
9. Total projected enrollment at full growth
10. Grade levels served at end of new charter term
11. Grade levels served at full growth
12. Proof of a federal and state criminal records check [Ed.L. §2852(4)] for the current school leader(s).

B. Executive Summary

The Executive Summary should be a narrative that describes the key components of the renewal application. A critical part of charter applications, Executive Summaries must **concisely and clearly relay the dynamic features of the charter school**, with a focus on the school's **plans for its next charter term**. To that end, the Executive Summary should explain in concise detail any proposed revisions to the charter for the next term, whether material or non-material. The Executive Summary should be between seven and ten pages, not counting requested attachments, but it **must not exceed ten (10) pages**, and it should include the following elements:

1. How will the school continue to be an academic success?

In this part of the executive summary, please include the following:

- **Mission Statement** for the new charter term. If it is revised describe the rationale for the revisions; if it is the same as the previous charter term mission statement, explain why it remains apt. The mission statement should be ambitious, measurable, and attainable, and must reflect the school's current or future educational philosophy and goals. It should be short, not more than three to five sentences. The school's current mission statement may be perfectly fine as a statement but might need to be revisited in terms of implementation to ensure that it is a statement that inspires and motivates staff. If that's the case please speak to that in this section as well.
- **High Academic Attainment and Improvement Goals:** List the charter school's performance commitments, or goals, for the new charter term. These are the goals for which the charter school will be held accountable in the new term. These goals should reflect the school's intention to continue its previous charter term's success in improving student learning and achievement and to increase educational opportunities for all children. Importantly, academic goals should reflect the DOE's high attainment targets for charter schools of 75% proficiency or better on state assessments. Some of these goals may be carried over from the previous charter if they were not fully met (though later in the application it should be explained what specifically will be different in the new term to ensure accomplishment of the carryover goals) or updated to be more rigorous in the new charter term.
- **Educational Program:** This should be a brief summary statement of the school's educational program, focusing on what will remain continuous and what will change for the new charter term. If the school's education program is successfully serving the population of students in the school there may be no significant changes for the new term but in that case please describe the population of students the school has served and the key program features that have been successful for them. If there are small adjustments being made to the program for whatever reasons (a particular group of students whose needs were not fully met; an unanticipated population of students with unique needs, etc.) they should be highlighted here. Any major adjustments, however, or changes to the school's education program should be introduced here with a brief description of the reasons for the adjustment, referencing the Retrospective Application where necessary.
- **Learning Environment:** Describe the school's approach to school discipline, classroom management, and student engagement for the upcoming charter term. If it is changing in any significant way, please briefly describe the reasons for the changes.

2. **How will the charter school continue to be a fiscally sound, viable organization?**

In this part of the executive summary, please include the following:

- **Governance and Organizational Design:** In this section please summarize the governance structure and organizational design (including staff and board) of the school for the new charter term, highlighting any structural changes to governance or organization and the reasons for those changes. If the new charter term will include significant planned changes to the school’s Board of Trustees, please describe the reasons for the changes and the new Board’s structure and leadership, and attach resumes and board questionnaires for proposed new board members in the new charter term. Please attach as an Appendix, either a complete roster for the existing Board that will be going forward into the next term or the proposed roster for a reconstituted Board. Rosters should include full names, date that Board member joined, responsibilities on the board (e.g. committees), and contact information.
 - If the school organizational structure is changing, please attach a new organization chart and a rationale for the new structure.
 - Include here a description of any significant relationships with any other organizations (i.e. management or institutional partner as applicable), including the nature of the relationship, a succinct summary of services the partners have provided and will continue to provide, and an explanation of how you will evaluate the usefulness of the institutional partnership(s). If you do not plan to retain the same services, please explain what changes you will make. In addition, if the school plans to discontinue a significant partnership with an organization that provided important services in the previous charter term that should be described here with the reasons for the change and a succinct description of how those services will be provided in the next charter term.
- **Financial Management Plan:** Briefly describe key elements of the charter school’s financial plan for the new charter term. Include any additional financial resources identified. If there are any special challenges in the coming term (such as those associated with pursuing a private facility or making capital improvements to an existing facility) please describe them here with plans to manage the challenges.
- **Enrollment Plan:** Provide an updated enrollment chart to identify the charter school’s planned enrollment by grade for each year of the new charter term, as well as planned expansion through full enrollment (if not reached during the fifth year of the proposed new charter term.)
- **School Climate and Community Engagement:** Describe the charter school’s efforts to sustain or improve student and teacher satisfaction in the new charter term. Describe any planned efforts to further community engagement through programs or partnerships, opportunities for service, etc.

3. **How will the charter school ensure continued compliance with its charter and all applicable rules and regulations?**

In this part of the executive summary, please include the following:

- **Enrollment and Retention of Comparable Special Needs Students:** Under the 2010 charter law amendments, charter schools are required to serve comparable percentages of free/reduced price lunch, English language learners, and Special Education students to the district in which they are located. Please summarize the recruitment efforts that will allow the charter school to reach or sustain its comparable averages for these at-risk groups.

- **Other Compliance Efforts:** Describe briefly other charter, legal or regulatory compliance efforts, if any, that the charter school will be addressing differently in the new charter term (such as parent association, complying with open meeting laws, lottery administration, community engagement, collaboration with other Charter/District schools, etc.).

4. **What other plans for the next charter term does the school have?**

In this part of the executive summary, please include the following:

- **School or Model Changes/Improvements:** Summarize here any proposed changes to the school design or academic model not described earlier in the executive summary.
- **Organizational Sustainability:** The maturing of an organization comes with many benefits but some challenges (burnout, complacency, etc.). Describe here how the school will ensure that it has sufficient human, financial, and operational capacity to sustain and increase its success in the next charter term.

SECTION II:
How Will Your School Be an Academic Success?

A. Goals

If the school's goals and/or mission statement have been revised *during* the previous charter period, please note those changes in the original, final approved application via track changes, as described in Application Guidelines, page 7.

If the renewal application will revise the mission and goals of the school for the *next* charter period, please note those changes in the original, final approved application via track changes, as described in Application Guidelines, page 7.

1. **Mission Statement** [Ed.L. §2851(2)(a)]: State the mission for your charter school that reflects your educational philosophy and goals. This statement *should not exceed three to five sentences in length*.
2. **Goals** [Ed.L. §2851(2)(b)]: The NYCDOE has defined high standards for performance, including student, financial and organizational outcomes, to which all NYCDOE-authorized schools will be held accountable. In addition to these standards, a charter school may define additional educational and non-educational goals for which it will be held accountable. It is important to note that the goals set by the school supplement (and not supplant) the expectations the NYCDOE has set for all charter schools.

B. Educational Program

If the school's Educational Program have been revised *during* the previous charter period, please note those changes in the original, final approved application via track changes, as described in Application Guidelines, page 7.

If the renewal application will revise the Educational Program of the school for the *next charter period*, please note those changes in the original, final approved application via track changes, as described in Application Guidelines, page 7.

1. Educational Design [Ed.L.§2851(2)(a)]

- a. Update the description of your school's current, and if applicable because of expanded grades or changes in preferences, expected student population, including demographics, academic performance, home languages, ELL, and special education populations.
- b. Describe your school's instructional methods and philosophy.
- c. Describe methods, strategies and/or programs for meeting the needs of students at risk of academic failures. Include any diagnostic methods or instruments that will be used to identify and assess those students who are performing below grade level as well as the processes/programs/tools to be used in providing them with remedial instruction.
 - Note: If you are using a school design/model please describe the demonstrated effectiveness of the model (performance data, research-based evidence), the demand for this school/model, and how closely your program will replicate this model.
- d. If you are proposing grade expansion, describe how information gathered by your school's planning team through school visits, classroom observation, and research on best practices has informed the educational approach for these grades.
- e. Describe how instructional decisions have been made in your school. Who will participate and what are their roles?

2. Curriculum

- a. Provide a description of the curriculum and how it was implemented, including the objectives, skills, and content that were covered in each grade the school serves.
- b. Provide a description of how the current curriculum is aligned to the Common Core and/or how the school will make the appropriate revisions to align its curriculum to the Common Core for implementation by 2014.
- c. If the school will expand its current grade configuration, provide a description of the curriculum and how it will be implemented, including the objectives, skills, and content that will be covered in each new grade the school will serve. For the highest grade level the school plans to serve during its new charter period, provide as described below for Exhibit J:

Exhibit J - Curriculum & Instruction Model

- a. For the highest grade level the school plans to serve during its new charter period, provide a curriculum map for one curriculum unit in one subject.
 - Note: A Curriculum Map is a structure that many educators use to organize their thinking about curriculum within individual courses and throughout a school community. Categories in curriculum maps may include, but are not limited to: Essential Questions, Standards, Assessments, Skills and Content Knowledge, and Major Projects.
- b. Sample Unit and Lesson Plan: Design the instructional model that teachers in the school will use and provide a sample unit and a sample lesson or project plan that represents the kind of teaching and learning you would like to see in the school.
- c. Assessment: Design an assessment and a rubric that will show students' level of mastery on the task described in the unit or project above. The assessment should be reflective of the kind of task that students will be expected to do in order to graduate from the school.
- d. Differentiated Instruction: Redesign the sample unit, lesson plan and/or assessment described above, focusing on supports for special education, English Language Learners, and/or students who scored a Level 1 or 2 on promotional tests.

3. Assessment

- a. Describe how teachers or teams of teachers will be made accountable for student results. Describe the role of the principal or school leader in this process.
- b. Describe how your school will use ongoing assessment data to drive the instructional program.
- c. Provide a chart describing the assessments that your school will use, both formative and summative.
 - Note: Assessments must align with any measurements referred to in the Goals section of your application (VI. Goals).
 - Note: Provide the dates or months that the assessments will be given.
- d. Describe the rationale for selection of assessments. For example, if you adopt goals based on student assessments other than New York City and State tests (e.g. Terra Nova), please explain why your school selected these assessments.
- e. Describe your school's promotion requirements for each grade.
 - Note: If your school plans to serve the 12th grade you must provide the summative requirements for a diploma [Ed.L. § 2851(2)(u)].

4. Student Enrollment

- a. Provide a student enrollment growth plan formatted as a chart that includes the following:
 - The total number of students enrolled each year for every year until the school has met its total planned enrollment. [Ed.L. §2851(2)(i)].

- The ages, grade levels, and class size to be served in each grade in each year [Ed.L. §2852(2)(l)].
- Include your rationale for enrollment decisions.
 - Note: If your charter school offers a kindergarten, this program must be open to all children who turn five years of age on or before December 31st of the year in which they begin kindergarten classes, as required by law [Ed.L. §3202(1)].

5. Special Populations

- a. Describe the methods and strategies by which your charter school will assure the provision of services to special education students in compliance with all federal laws and regulations, [Ed. L. §2851(2)(s)] including a description of:
- Special education services to be provided directly by the charter school, and a clear plan of who on staff will coordinate this effort.
 - Method in which the charter school will interact with the student's district of residence to ensure that the special education services listed on the student's IEP are provided.
 - How the charter school will ensure that the teacher(s) of a student with a disability will participate in meetings of the Committee on Special Education and will have access to and understand their responsibility to implement the IEP.
 - How the charter school will make efforts to attract and retain a comparable or greater enrollment of students with disabilities as compared to the enrollment figures for students in the district of location.
 - Note: Be sure that your response describes the strategy (beyond legal requirements) you would use to ensure that Special Education students will have ways to improve their skills and access curricular content.
- b. Describe the methods and strategies by which your school will serve students with Limited English Proficiency (LEP), by grade level, including:
- The processes for identifying students whose first language is not English, and the method for determining which of these students may need assistance.
 - A description of the special language instructional program to be provided to LEPs that is designed to teach English, as well as general curriculum and who will coordinate this effort.
 - A provision that indicates that LEP students will not be excluded from curricular and extracurricular activities in school because of the inability to speak and understand the language of instruction.
 - A plan that ensures that the appropriate staff, curricular materials, and facilities are in place and used properly.
 - Appropriate evaluative standards for measuring the linguistic and academic progress of LEP students, including program exit criteria.

- A process for continued program assessment and modification where needed.
- How the charter school will make efforts to attract and retain a comparable or greater enrollment of English language learners as compared to the enrollment figures for students in the district of location.
 - Note: Be sure that your response describes the strategy (beyond legal requirements) you would use to ensure that English language learners will have ways to improve their skills and access curricular content

6. School Characteristics

- a. Please provide your school's daily and weekly schedule from a student perspective.
Please provide your school's daily and weekly calendar from a teacher perspective.
[Ed.L. §2851(2)(n)].
 - Note: This organization of time must include evidence that your school provides at least as much instruction time during a school year as required of public schools [Ed.L. §2851(2)(n)]. In New York, that minimum is 180 days. In order to count as an instructional day, the school must be in session for a minimum of two and a half hours per day for a half day of kindergarten; five hours per day for a full day of kindergarten or for a full day of elementary grades; and five and a half hours per day for grades 7-12, excluding lunch. However, Ed.L. § 6304(8) and Commissioner's Regulation 175.5 permit up to 4 days of the 180 to be used for professional development or parent-teacher conferences, but they must be held on days that the school could legally be in session (i.e. not on weekends).
- b. Your school's code of conduct / discipline policy
 - Include provisions for suspension or expulsion and demonstrate that you will apply due process procedures that are consistent with federal laws and regulations governing the placement of students with disabilities [Ed.L. §2851(2)(h)]. Furthermore, include detailed discipline provisions for students with disabilities [34 CFR §§ 300.530, 300.532(a), 300.532(b), 300.533, 300.534 and 300.536].
 - Include provisions to address all types of disciplinary action, not only for the most serious forms such as out-of-school suspension and expulsion.
 - Include provisions to implement alternative instruction options for students of compulsory education age.
- c. Describe the manner in which the school will communicate with students' families and how the school will promote parental and staff involvement in school governance. [Ed.L. §2851(2)(c)].

7. Teacher Effectiveness

- a. Describe your school's plan to provide teachers with the enrichment, training, tools for improvement, and opportunities for collaboration and communication. Be sure to address how teachers will know or be trained in appropriate strategies for ELL and special education students. Your plan for teacher training should discuss, as relevant, plans for teacher recruitment and hiring, pre-opening training the school may require,

as well as plans for teacher enrichment on an ongoing basis once the school is in operation.

Include a sample professional development calendar for the year.

SECTION III:

**How Will Your School Be a Fiscally Sound, Viable
Organization?**

A. Governance Structure and Organizational Design

If the school's **Governance Structure and Organizational Design** have been revised *during* the previous charter period, please note those changes in the original, final approved application via track changes, as described in **Application Guidelines, page 7**.

If the renewal application will revise the **Governance Structure and Organizational Design** of the school for the *next charter period*, please note those changes in the original, final approved application via track changes, as described in **Application Guidelines, page 7**.

1. Organizational Design

- a. Provide an organizational chart that reflects all levels of staffing and management of your charter school (including your board of trustees). You may include an accompanying narrative.
- b. Describe the reporting and oversight structure of your school, including the relationship between the board of trustees and school administration and CMO/EMO (as applicable) regarding governance and management of the school [Ed.L. 2851(1)].
 - Note: A copy of the contract between the CMO/EMO and the board of trustees is required in Section XV.

2. Board Structure and Operations

Exhibit K - Bylaws

Provide the charter school's Board-approved bylaws. Bylaws must reflect the charter school's mission and non-profit status as an Educational Corporation under the New York State Education laws, and include:

- a. The method by which the board members will be elected or appointed, as well as the term of office for each trustee.
- b. The number of trustees to serve on the board if the renewal term is granted (the minimum required is five), and identify any seats reserved for specific constituents.
- c. The responsibility and authority of the board for the policy and operations of the charter school.
- d. A list of committees of the board of trustees (which must include, at minimum, an executive, finance, and education/accountability committee), and members who currently belong to these committees
- e. The calendar for board meetings
- f. A list of the quorum and voting requirements for board meetings and committees.
 - Note: Trustees, officers or employees of any single organization shall hold no more than 40 percent of total seats comprising the board of trustees.

- **Note:** Conflicts of interest among charter school board members must be disclosed as they are by traditional public school board members, consistent with the General Municipal law (§ 4).

Exhibit L - Code of Ethics

Attach your Board-approved code of ethics that applies to trustees, officers and employees of the school, including a formal conflict of interest policy and implementation procedures (to include language regarding arm's-length transactions) [Ed.L. §2851(2)(v)].

- **Note:** Chancellor-authorized charter schools have several reporting and oversight requirements in the NYCDOE Charter Contract.

3. Oversight

- a. Just as your school's board is ultimately accountable for the performance of your school, your school will hold affiliated personnel and partnership organizations (as applicable) accountable for their performance. Include a description of this evaluation process.
- b. Describe how the board of trustees will use data to inform decision-making processes. Include a description of which data the board reviews, how frequently this data is reviewed, and how this data is generated and presented.

Exhibit M - Evaluations Tools for Staff and Institutional Partner

Provide the specific tools you will use to evaluate the EMO/CMO (if applicable).

- **Note:** Exhibit M also asks for evaluation tools of school leadership and teaching staff, to be discussed in Section III.B, Personnel.

4. Board Capacity

- a. Provide evidence that members of the board of trustees who you have selected have the capacity to monitor school operational functions including but not limited to fiscal oversight, facilities planning, legal, etc.
- b. Describe the methods you will use to build and assess capacity of your board of trustees. The application must provide for the training of any new members so that the trustees may understand their role, responsibility and the scope of their authority.
- c. Provide the qualifications that you seek in potential board members.

B. Personnel

1. Personnel Process and Policies

- a. Describe the hiring policies and procedures of the school, and the qualifications to be considered, in the hiring of teachers [Ed.L. §2851(2)(g)]. Describe the attributes and qualifications that you will seek out in teachers. What mechanisms and venues will your school utilize to recruit effective teachers? How will you ensure that your teacher recruitment targets a universe of candidates that aligns with your school’s mission and culture?
- b. Describe the hiring policies and procedures of the school, and the qualifications to be considered, in the hiring of school administrators and other school employees [Ed.L. §2851(2)(g)]. Describe the attributes and qualifications that you will seek out in each of these positions. What mechanisms and venues will your school utilize to recruit effective school leaders and key administrative staff? How will you ensure that your recruitment targets a universe of candidates that aligns with your school’s mission and culture?
- c. Please describe the evaluation process for teachers and leadership staff, and the rationale behind the selected evaluation tools provided in Exhibit M.

Exhibit M – Evaluation Tools for Staff and Institutional Partner

Provide the specific tools you will use to evaluate the school leadership (principal, director) and teaching staff.

- Note: Exhibit M also asks for evaluation tools for the EMO/CMO as addressed in Section VIII.

Exhibit N - Job Descriptions

Please provide job descriptions for each individual on the chart submitted in VIII.1 [Ed.L. § 2851(2)(g)]. You do not need to provide a job description for each individual teacher by subject unless certain teaching jobs require specific skills or expertise.

2. **Collective Bargaining:** Explain how you will comply with the collective bargaining requirements set forth in the New York Charter Schools Act if any of the following statements are applicable to your charter school:
 - You are converting a New York City public school into a charter school.
 - If your teachers are already unionized or are currently in the process of unionizing, please explain how you will work to negotiate with the union over the term of the next charter.

C. Financial Management Plan

Financial Management

- a. Describe the policies that your school uses to monitor the following internal fiscal procedures:
- Payroll
 - Purchases
 - Accounting and audit requirements
 - Cash management and investing
 - Fundraising
- **Note:** The board of trustees will be held accountable for the school’s operational functions including but not limited to fiscal oversight and facilities planning.
- **Note:** The school will be responsible for providing various financial reports to the board including but not limited to monthly budget status report, monthly cash reports and quarterly statements.

Exhibit Q - Five-year Operating Budget

Provide a five-year operating budget that reflects all planned revenues and expenditures [Ed.L. §2851(2)(e)].

- Use a clear budget worksheet template that includes stated and detailed assumptions of each revenue and expenditure line item.

Exhibit R - Budget Narrative

Provide a written narrative summarizing financial forecasts for the proposed five years of the school’s charter term.

- a. Describe any planned fundraising efforts and who will lead and coordinate these efforts. Because there is no guarantee that these funds will be awarded, you must describe how your school would remain solvent if you did not receive these funds.
- b. If revenues include private support, please provide commitment letters and/or loan agreements from outside funding sources.
- c. If you are in a co-located space and anticipate making capital improvements, please describe your plans to obtain matching funds.

Note: If you are proposing to use a DOE facility that has not yet been secured, you must submit two budgets: one assuming your request for DOE space is granted AND another contingency budget that assumes the school is not located in a DOE facility. If you are currently in the process of building, securing, or considering a private facility, please be sure to reflect these expenses in your budget as well.

SECTION IV:

**How Will Your School Comply With Its Charter and All
Applicable Rules and Regulations?**

A. Operations and Policies

If the school's **Operations and Policies** have been revised *during* the previous charter period, please note those changes in the original, final approved application via track changes, as described in **Application Guidelines, page 7**.

If the renewal application will revise the **Operations and Policies** of the school for the *next* charter period, please note those changes in the original, final approved application via track changes, as described in **Application Guidelines, page 7**.

1. **Required Programs and Policies:** Provide your school's policies regarding the following areas:
 - a. **Health Programs** [Ed.L. §2851(2)(r)]: Describe the health services to be provided to students in your charter school including:
 - General medical services
 - Plans and procedures for students who require daily medication
 - b. **Food Services** [Ed.L. §2851(2)(r)]: Provide a description of food service to be provided by the charter school.
 - c. **Transportation Services:** Provide a description of transportation arrangements that the charter school will make for its students including:
 - Arrangements for students who would not qualify for public school transportation under New York State Education laws
 - Supplemental transportation sources planned with the school district and the NYCDOE
 - **Note:** With regard to transportation issues, charter schools are considered “nonpublic” schools [Ed.L. §2853 (4)(b)]. Charter school students are therefore eligible for comparable services from the school district received by other students attending nonpublic schools. Contact your cohort's Director of Operations for more information.
 - d. **Student Records:** Describe processes to maintain student records, including attendance tracking.
 - e. **Federal Requirements:** Provide evidence how the school meets required federal regulations, including:
 - The processes to be followed by the charter school to comply with the Child Find requirements of IDEA [34 CFR 300.111]
 - The processes to be followed by the charter school that will comply with the data reporting requirements of the IDEA [34 CFR 300.642]

- The processes to be followed by the charter school that will ensure compliance with the Family Educational Rights and Privacy Act (FERPA) and IDEA regarding confidential student records (e.g. notice to parents of rights, record access log, training of personnel, maintenance of student records, and official records)
 - The processes to be followed by the charter school that will ensure that parents are kept informed of their child’s progress in meeting his/her IEP goals [34 CFR 300.322, 34 CFR 300.320] at least as often as parents are informed of their non-disabled children’s progress
2. **Admission Policies** [Ed.L. §2854(2)(d)]: Write your school’s student admission policy, to include the following:
- a. Application and admission periods and procedures
 - b. An outreach plan, including strategies for publicizing and recruiting prospective students that is equitable, nondiscriminatory, and will help ensure that the student population will reflect the demographics of the community you intend to serve. In addition, the application must clearly describe all efforts that will be used to attract and retain a comparable or greater enrollment of students with disabilities, English Language Learners, and students receiving free/reduced price lunch as compared to the enrollment figures for students in the district of location.
 - c. Procedures if student applications for admissions exceed available space, including the following:
 - The precise manner in which the lottery will be conducted and by whom
 - Measures to ensure that the admissions process adheres to legal requirements
 - Procedures for wait-listing students who are not included in the first round of lottery offers
 - **Note:** Your proposal should include a plan to enroll any student who submits a timely application by April 1st of each school year. You should have a plan for providing a wait list for students if the number of application exceeds the capacity of a grade level or building.
 - **Note:** All charter schools are required to provide equitable admissions access to students with disabilities and English Language Learners.
 - **Note:** If the number of applicants exceeds the number of available seats, a random selection process, such as a lottery, must be used. The Charter Schools Act does require that a charter school give preference to siblings of students *already enrolled in the charter school*, and in the second and subsequent years of operation, students returning to the charter school. **In addition, the amended Charter Schools Act requires that a charter school in New York City give admissions preference to students residing in the community school district (CSD) in which the charter school is located.**
 - **Note:** As the New York State Charter Law permits charter schools to give preference in their admission to students at risk of academic failure, your school may be asked to reserve ten percent of open seats in a given year for student transfers under the New York City Department of Education’s No Child Left Behind choice transfer program.
 - d. Your procedures for student withdrawal or transfer

3. **Grievance Policy** [Ed.L. §2854(2)(d)]: Provide the policies of the charter school's board of trustees for handling complaints from individuals or groups.

➤ **Note:** The policy should clearly articulate how individuals may present grievances, how those grievances will be reviewed, and who will undertake that task, as well as the timeframe for disposing of a grievance. In addition, the policy must provide adequate notification to individuals of their right to appeal to the New York City Department of Education if they are not satisfied with the handling of their grievance by the school's board of trustees, and, if still unsatisfied, thereafter to the Board of Regents.

4. **Facilities:**

- a. **Location:** Describe the specific building, address, community, and community school district where your charter school will be located for the proposed charter term [Ed.L. § 2851 (2)(i)]. If you have plans to move facilities within the proposed charter term, please describe in detail. Please note that if the school will be operating at more than one site at any point during the proposed charter term, these descriptions and estimates should include information regarding each site.
- b. **Description and Use:** Provide a facility program stating the layout and planned use of rooms and facilities, which should include:
- i. A description of the required space for the proposed school, including number and type of classrooms, administrative offices, and meeting space and any program-specific space.
 - ii. Growth plan for school in this facility.
 - iii. Any rehabilitation work necessary for this site to meet building codes applicable to schools or completed before the start of the school year including:
 1. The scope of the work to be completed and proposed funding mechanism to cover these costs;
 2. The person(s) who will manage the project and their qualifications;
 3. A project timeline
 - iv. Whether the facility space to be occupied will include space used for food preparation, kindergarten students located on or above a third floor, or other uses requiring a permit from the New York City Department of Health
 1. **Note:** If your site will use residential facilities, please include this in your description [Ed.L. §2851(2)(w)].
 2. **Note:** If you have not yet secured a site, provide a detailed description of your anticipated space needs.
- c. **Cost Estimates:** Provide the following cost estimates regarding your proposed charter school's facility arrangements:
- i. The percentage of your total budget expected to be spent on rent/lease
 - ii. If your school will be housed in a leased or rented facility, provide evidence that you have researched comparable rents in the marketplace,

within and outside of your desired geographic location.

- iii. Provide any information that you have gathered about leasehold improvements.
 - iv. The basis on which you have determined that this facility complies with New York City's Zoning Resolution
 - v. Note: Charter schools must comply with NYC zoning, land use, and building code regulations extended to nonpublic schools [Ed.L. § 2853(3)(a)].
- d. Please provide a copy of the facilities' certificate of occupancy and evidence that the site has been secured, which should include:
- i. Preferred: Letter of intent (LOI) signed by the building owner, to lease or sell the proposed facility to your organization. The LOI must contain specific terms, including rent or purchase amount and any agreement(s) on building renovation costs; or if an LOI is not possible
 - ii. Alternative: Provide a memorandum of understanding signed by the owner, that does each of the following:
 - 1. Describes the status of negotiations with your organization regarding the possible lease or purchase of the building should your proposal be approved;
 - 2. Describes any foreseeable conditions, circumstances, or considerations that may affect the decision to lease or sell the building to your organization;
 - 3. Specifies any decision-making process that may be required before an agreement can be finalized;
 - 4. Specifies a date by which a decision to lease or sell is likely to be reached

SECTION V:
Miscellaneous

A. Operational Impact / Dissolution

If the school's Operational Impact/Dissolution Policies have been revised *during* the previous charter period, please note those changes in the original, final approved application via track changes, as described in Application Guidelines, page 7.

If the renewal application will revise the Operational Impact/Dissolution Policies of the school for the *next charter period*, please note those changes in the original, final approved application via track changes, as described in Application Guidelines, page 7.

1. **Operational Impact** [Ed.L. §2851(2)(q)]: Using the chart in Appendix G, provide an assessment of the programmatic and fiscal impact of your charter school on existing public and nonpublic schools in the area. It is necessary to do the following:
 - a. Update the dollar amount (public revenues) that follows children from each school district of the student's residence.
 - b. Calculate the percentage of NYCDOE's overall funding that your charter school would receive assuming NYCDOE's annual budget of \$23.9 billion.
 - c. Write a brief summary of the programmatic impact of your new charter school on existing public and nonpublic schools in your CSD. Public school information is available on the DOE website at <http://schools.nyc.gov>. Non-public school information by CSD can be accessed at <http://www.nysed.gov/admin/adminindex.html>.
2. **Dissolution** [Ed.L. §2851(2)(t)]: In the event of your charter school's dissolution, describe the procedures that the school would follow, to include how you intend to do the following:
 - a. Hold public meetings to provide information on the school's dissolution to parents
 - b. Transfer student records to appropriate school districts and provide a copy of such records to each student's parent or legal guardian
 - c. Logistically transfer the students
 - d. Establish an escrow account of no less than \$70,000
 - e. Transfer the school's assets to another school within your school's prospective district

B. Institutional Partnership Agreement

If the school's Institutional Partnership has been revised *during* the previous charter period, please note those changes in the original, final approved application via track changes, as described in Application Guidelines, page 7.

If the renewal application will revise the Institutional Partnership of the school for the *next* charter period, please note those changes in the original, final approved application via track changes, as described in Application Guidelines, page 7.

Exhibit S - Institutional Partnership Agreement

If you are submitting your application with a college, university, museum, educational institution, not-for-profit corporation with 501(c)(3) status under the Internal Revenue Code, or a for-profit business or corporate entity authorized to do business in New York State, including an Educational Management Organization, Education Service Partner, or a Charter Management Organization, you will need a **signed contract or commitment letter/term** from said partner that specifically describes how they intend to carry out respective responsibilities. This document must include, but is not limited to, the following information:

- Name of partner organization
- Name, address, phone and facsimile numbers, and e-mail address of contact person from partner organization
- A copy of the institutional partner's Certificate of Incorporation, proof of tax-exempt status and documentation that proves the partner is authorized to do business in New York State
- All educational and non-educational services to be provided by the institutional partner. This description should be accompanied by a written understanding of the nature, duration, and cost of service commitments, including the extent to which the partner will participate in the management of the school.
- How the institutional partner will be held accountable for their performance
- Fees to be paid, financial or resource assistance committed, and services to be rendered by the school to the institutional partner
- Information regarding ownership of school assets, the length of the contract, terms for potential contract renewal, and termination provisions
- The institutional partner's latest annual report
- Copies of any actual or contracts or other agreements between the applicant and the institutional partner concerning the charter school
- A draft copy of the contract between the management company and the charter school