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Chancellor

CHARTER SCHOOL RENEWAL APPLICATION

Part 2 – Prospective Application
2010

NEW YORK CITY DEPARTMENT OF EDUCATION

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**SECTION I:
Introduction**

Overview

The expiration of charters and their renewal based on a compelling record of success is the linchpin of charter school accountability. In the final year of its charter, a Chancellor-authorized charter school seeking renewal must demonstrate its success during the initial charter term and establish goals and objectives for the next charter term. Ultimately, the renewal process offers an opportunity for the school community to reflect on its experiences during its first term, to make a compelling, evidence-based case that it has earned the privilege of 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,” completed in the fall of the final year of a school’s charter, and Part 2, the “Prospective Plan,” submitted in the spring. While submitting the retrospective analysis, a school must present a compelling, evidence-based case that it has been successful during its initial charter term. The Charter School Office (“CSO”) will review the application and the Chancellor will make a preliminary decision on whether the school’s charter should be renewed, the length of the new term, and any other conditions for renewal. After the Chancellor’s decision, the school will 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 conditions set for the school by the Chancellor. 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.

Renewal Application Timeline & Process

Timeline		Renewal Component	Explanation
Fast-Track	Standard		
<u>DUE:</u> May 3, 2010	<u>DUE:</u> July 5, 2010	Part I of Renewal Application (Retrospective)	The applicant school submits the Retrospective Renewal Application to the NYC Department of Education (NYCDOE) Charter School Office (CSO)
<u>DUE:</u> May 3, 2010	<u>DUE:</u> Sep. 13, 2010	Submit documentation for Renewal Visit	This documentation will help the Renewal Inspection Team prepare for the visit in a meaningful way.
Between May 18 – June 18, 2010	Between Sept. 20 – Dec. 15, 2010	Renewal Visit	A NYCDOE Team will visit the school for 2 days to verify and augment the information presented by the school in its written application.
July 16, 2010	Dec. 22, 2010	Recommendation to Chancellor & Renewal Report	Based on the application, on-site visits, previous oversight findings, and other information, CSO prepares a draft report of its findings and shares it with the school. CSO may also request additional information from the school. The school has the opportunity to review the draft report for factual errors and provide comment within one week of its receipt of CSO draft report. CSO reviews comments and prepares a Renewal Recommendation Report to submit to the Chancellor.
<u>DUE:</u> July 16, 2010	<u>DUE:</u> Dec. 15, 2010	Part II of Renewal Application (Prospective)	The school submits the Prospective application, incorporating conditions for renewal.
July 30, 2010	Dec. 10, 2010	Chancellor’s Decision Part I	The Chancellor makes a preliminary decision as to whether the charter is renewed, the term of the new charter, and any renewal conditions.
Aug. – Sept.	Dec. – Jan.	Public Hearing	Per the NY Charter Schools Act, a public hearing must be held to solicit comment on the possibility of the charter renewal.
July – Aug.	Dec. – Jan.	Clarifications	NYCDOE & NYSED will request clarifications regarding the Prospective Application.
Aug. 15, 2010	Jan. 30, 2011	Chancellor’s Decision on Part II	If the Chancellor approves Part II (Prospective), he will formally approve the complete application and request that the school send the proposed renewal charter agreement to the New York State Education Department (“NYSED”).
Aug. 15, 2010	Jan. 30, 2011	Forward to SED	Once the school has incorporated clarifications into its renewal charter, it will be asked to forward several hard copies of the document, along with a new charter agreement and a letter from the Chancellor, to the NYSED for review.
October / November 2010	April 2011	Decision by New York State Education Department	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. Once a proposed renewal charter agreement is forwarded to the Board of Regents, the Board of Regents shall have sixty days in which to act to approve the proposed charter renewal agreement, and thereafter to issue a charter for the term specified.

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 viable organization?**
3. **How will your school comply with applicable laws and regulations?**

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 establish and operate a quality charter school. Teams are advised to carefully review the instructions and guidelines provided below to prepare your application for submission to 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://schools.nyc.gov/ChoicesEnrollment/SpecialPrograms/CharterSchools/LawsandRegulations/KeyDocuments/A56.htm>
- **New York State Education Department’s (SED) Technical Assistance Advisory**
<http://www.emsc.nysed.gov/psc/documents/TAArevised13-7-08.doc>

Application Instructions

Length and Content Requirements

- ✓ Each copy of your application should have a Table of Contents that indicates each section (and corresponding page number), each exhibit, and each appendix. Use at least 11 point font.
- ✓ For the **initial** submission of the proposed renewal charter **only**, clearly show any language to be deleted from the current charter by use of (parentheses) or by use of a ~~strikeout~~ feature. Text to be added should be shown either by underlining the new text or by use of *italic type*. This will enable reviewers to easily understand what changes are being proposed
- ✓ to the renewal charter. Any requested revisions do not need to have these features.
- ✓ Respond to each section, sub-section, and information request as indicated in the guidelines. You should label each response with its associated roman numeral, lettering, and numbering. [For example, your answer to Part I. Section II. *Executive Summary*, 1. *Mission Statement*; should be labeled II.1.] 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.

Please note: The signed Charter Agreement will only be required if you are recommended for approval to the State Education Department for review. However, you and your team should review the Charter Agreement, School Readiness Review, and School Monitoring Plan included in the packet as Appendix E.

- ✓ 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 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 New York State Charter Schools Act.

Application Instructions

- You are responsible for completing and submitting 2 CD copies of Part 1 of the Renewal Application to the NYCDOE Charter School Office by 5:00pm on July 10, 2009. 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 between 20 and 30 pages.
- Each copy of your application should have a Table of Contents and tabs for each section, including exhibits.
- Each copy must contain all sections of the application. All pages must be single spaced, using at least 11 size fonts.
- Respond to each request for information according to its associated roman numeral, lettering, and numbering. [For example, your answer to Part 1, Section III, *Is Your School a Viable Organization*, B. Indications of Parent and Student Satisfaction, should be labeled “1.III.B.”].
- 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 on-line at:
<http://schools.nyc.gov/charters>

Completed Applications Must Be Submitted To:

New York City Department of Education (NYCDOE)
Charter School Office
Attention: Charter School Renewal Application
52 Chambers Street, Room 413
New York, New York 10007

Electronic copies should be submitted to:
CharterSchools@schools.nyc.gov

Submission of Application- Part II

- ✓ Your Part II Application will be submitted in two stages: an initial submission of 2 CD copies to the Charter School Office on or before the deadline in the Renewal Process Timeline, followed by a final submission of 10 hard copies and 10 CD copies to the State Education Department.
- ✓ Exhibits and Attachments should be saved as separate documents from the application narrative.

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- ✓ 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).

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Phone: 212-374-5419

**SECTION I:
Introduction**

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 full growth
9. Grade levels served at full enrollment
10. 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 your application. A critical part of charter applications, Executive Summaries must **concisely and clearly relay the dynamic features of your charter school**. The Executive Summary **must not exceed five (5) pages**, and it should include the following elements:

1. **Mission Statement:** State the mission of your charter school. Your mission statement should be ambitious, measurable, and attainable, and must reflect your educational philosophy and goals. *Mission statement should not exceed three to five sentences in length.*
2. **Goals:** List your school's performance commitments, or goals, for which your charter school will be held accountable. These goals should reflect an intention to improve student learning and achievement and increase educational opportunities for all children.
3. **Educational Program:** Describe the student population that your school serves, including prior academic performance of the student population in the community. Describe the educational program of your school, including any dynamic features. Describe how that educational program enables the school to address the needs of your student population.
4. **Enrollment Planning:** Provide an enrollment chart to describe your school's planned enrollment by grade in years one through five of the charter school, as well as planned expansion through full enrollment (beyond year 5).
5. **Governance and Organizational Design:** Briefly describe the governance structure and organizational design (including staff and board) of your school. Briefly describe relationships with any other organization (i.e. management or institutional partner as applicable), including nature of relationship and succinct description of services.
6. **Financial Management Plan:** Briefly describe key elements of your financial plan. Include any additional financial resources identified. Indicate anticipated fees to be paid to institutional/ management partners.

C. Capacity

1. Members of Board of Trustees

- a. Identify the key individuals responsible for the creation and operation of the charter school. Describe the role, if any, each individual will serve should a charter be granted to the group.
- b. Identify, by name and affiliation, the primary individual(s) who were involved in the technical writing and editing of this application.
- c. Describe the specific attributes you will seek out in board members and key staff in your school. How will you recruit board members?
- d. For purposes of incorporation, please list the names and addresses of members of the school's governing board of trustees. Include professional and philanthropic affiliations.
- e. Provide background information such as resumes and board questionnaires in the following Exhibits below [§2851(2)(m)]:

Exhibit A - Résumés

Provide résumés for any new board members. These résumés should reflect that this team has the following skills and attributes:

- A commitment to providing the highest quality education for all children
- Experience in building an organization from the ground up
- Financial and business acumen
- Expertise and a proven track record in urban education, including evidence of student success on a variety of indicators
- Effective community and parent engagement
- Ability to fundraise and develop strategic partnerships
- Skills to convey ideas to numerous audiences including students, teachers, parents, the media, legislators, and other interested constituents
- A clear understanding of the New York Charter Schools Act and other relevant laws including No Child Left Behind

- Note: In some sections of the application, you will be asked to present relevant information as a separate exhibit. As indicated in the Application Directions, please provide exhibits after your responses to all parts of the application and not in the body of your application.

Exhibit B—Board Questionnaires

Please see electronic copy in Appendix B posted under “Charter School Creation” at: <http://schools.nyc.gov/charters>

2. Institutional Partnerships

- a. If you are partnering with a for-profit entity (including but not limited to an educational service provider) or a not-for-profit management company, please provide the name of such entity. Please specify in detail the extent of the entity's participation in management

and operation of the school.

- b. Please explain how and why your charter planning team selected the for-profit entity or non-profit educational service provider.

SECTION II:
How will your school be an academic success?

A. Goals

Reviewers will look for Goals that include the following:

- Mission statement that is ambitious, measurable and attainable, and that reflects educational philosophy and goals of planning team
- Goals that reflect the NYCDOE Performance Goals Template and that exceed the NYCDOE Template's minimum required levels as relevant to proposed community averages
- Clear, rigorous, measurable and data-driven indicators of progress, including for supplemental educational and non-educational goals
- Varying types of assessment, including data-driven indicators, that will gleam a comprehensive picture of school progress
- A commitment by the proposed school to hold itself accountable for results
- Goals that reflect the unique mission of the school

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.

a. Use the Performance Goals Template in Appendix A to define the goals to which you will be held accountable to achieving over the term of your school's charter.

➤ Note: NYCDOE Performance and Compliance Standards are available in Appendix F.

Note: Be sure your assessment plan in Section VII aligns with goals stated in Section VI.

B. Educational Program

Reviewers will look for an educational design that reflects the following characteristics:

- Well thought-out educational program that will likely result in academic success for ALL students
- Standards-based, academically rigorous curriculum
- High academic expectations and strategies for the full range of students served by the school, including those at risk of academic failure
- Use of research-based instructional models and methods
- Engaging and authentic instructional strategies
- Teachers empowered in a manner that promotes student success
- Connections between classroom learning and the community

Reviewers will look for the following in assessment plans:

- Student learning measured with multiple forms of assessments and metrics
- Assessments that align with the school's culture of continuous improvement, that reflect the school's emphasis on accountability for student learning, that shape and inform instruction on an ongoing basis, and for which a solid rationale is provided
- Summative and formative assessment results that are used to gauge student /teacher / school progress

Reviewers will look for the following in schools' plans for enrollment, students with special needs, etc:

- Enrollment plans that reflect sustainable growth
- Well-defined plan and capacity to service the learning needs of students with special needs, English language learners, and other non-traditional characteristics
- Behavioral expectations and social supports that reflect the school's mission and comply with all applicable laws and regulations
- Plans to facilitate teacher effectiveness, collaboration, learning, instructional competency and development on an ongoing basis
- Student and teacher schedules that position the school for success
- Capacity to communicate effectively with the school's families, and stakeholder engagement strategies that mobilize parents and the community in a way that promotes school success

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

- a. Describe your school's 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. 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 described above.
- e. Describe how instructional decisions will be made in your school. Who will participate and what are their roles?

2. Curriculum

- a. Provide a description of the curriculum and how it will be implemented, including the objectives, skills, and content to be covered in each grade the schools will serve.

Exhibit H—Curriculum to Standards Crosswalk [Ed.L. §2851(2)(a)]

You are advised to use the online CSO template found in Appendix C under “Charter School Creation” at: <http://schools.nyc.gov/CharterSchools>

In the template, outline the topics to be taught in each of the 11 subject areas at every grade level that your school will serve during the term of the first charter. Demonstrate that each topic is aligned with the 28 New York State Learning Standards to ensure that students will meet or exceed New York State’s performance standards [Ed.L. §2851(2)(b)].

- **Note:** See <http://www.emsc.nysed.gov/ciaj/lr.html> for New York State’s requirements. (Be sure to use the Math Standards, revised 2005.)
- **Note:** See <http://www.emsc.nysed.gov/psc/documents/TAArev13-7-08.doc> for the NYSED’s Charter School Applications Technical Assistance Advisory.

Exhibit I - Curricula

Include names of purchased materials/programs to support the stated curriculum.

Exhibit J - Curriculum & Instruction Model

Provide as Exhibit J:

- a. For the highest grade level the school plans to serve in its first year, 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.

2. Assessment

- a. Describe how teachers or teams of teachers will be made accountable for student results. Describe the role of the principal in this.
- 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)].
 - Note: See <http://www.emsc.nysed.gov/psc/documents/TAArev13-7-08.doc> for the NYSED's Charter School Applications Technical Assistance Advisory.

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. If the school will open with fewer than 50 students, please present a compelling justification for doing so [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)].
 - Note: If the total number of students enrolled in the charter school on the first day on which it commences instruction exceeds 250 students, or if the average daily student enrollment exceeds 250 students at any time during the first two years of the school's operation, all employees who are eligible for representation under Article 14 of the Civil Service Law shall be deemed to be represented in a separate negotiating unit at the charter school by the same employee organization, if any, that represents like employees in the school district of location [Ed. L. § 2854(3)(b-1)].

- Note: See <http://www.emsc.nysed.gov/psc/documents/TAArev13-7-08.doc> for the NYSED’s Charter School Application Technical Assistance Advisory.

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.

➤ Note: See <http://www.emsc.nysed.gov/psc/documents/TAArev13-7-08.doc> for the NYSED’s Charter School Applications Technical Assistance Advisory.

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.

- Note: See <http://www.emsc.nysed.gov/psc/documents/TAArev13-7-08.doc> for the NYSED’s Charter School Applications Technical Assistance Advisory.

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.
Please provide an annual calendar [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; 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.

- Note: See <http://www.emsc.nysed.gov/psc/documents/TAArev13-7-08.doc> for the NYSED’s Charter School Applications Technical Assistance Advisory.

- 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,

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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 agenda of content for teacher enrichment that may be required in advance of school opening in the fall.

SECTION III:
Will your school be a viable organization?

A. Governance Structure and Organizational Design

Reviewers will look for a governance and organizational design that includes the following:

- *Appropriate roles, responsibilities, and decision-making power of school community members (including board of trustees and school leadership)*
- *An accountability structure that provides effective oversight of the educational program and fiscal components of the school*
- *Board members with a range of expertise, who are independent and whose affiliations represent no conflict of interest*
- *Effective processes for policy development and a strong plan for ongoing board development and self-evaluation*
- *Data used to inform board decision processes*

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 EMO (as applicable) regarding governance and management of the school [Ed.L. 2851(1)].

➤ Note: A copy of the contract between the EMO and the board of trustees is required in Section XV.

2. Board Structure and Operations

Exhibit K - Bylaws

Provide the charter school's 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 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 after the charter school is authorized (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).
- e. The calendar for board meetings, providing for a minimum of six meetings per year.
- 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, per NYSED’s Charter School Applications Technical Assistance Advisory at: (<http://www.emsc.nysed.gov/psc/documents/TAArev13-7-08.doc>).
- **Note:** Planning teams should adhere to best practice and common sense as they develop boards positioned for maximal school and student success. Board independence, diversity and management for conflict of interest are critical elements.

Exhibit L - Code of Ethics

Attach a code of ethics for the prospective charter school that applies to trustees, officers and employees of the school, to include 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.
- **Note:** See <http://www.emsc.nysed.gov/psc/documents/TAArev13-7-08.doc> for the NYSED’s Charter School Applications Technical Assistance Advisory.

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.

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 IX, 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 capacity of your board of trustees. The application must provide for the training of the initial board of trustees and any new members, so that the trustees may understand their role, responsibility and the scope of their authority.

Provide the qualifications that you seek in potential board members.

B. Personnel

Reviewers will look for personnel plans that include the following:

- Staff plans, staff hiring criteria and staff evaluation procedures that are clear and aligned with the school's mission and educational design
- Well-delineated and strategically-allocated roles and responsibilities for faculty, staff and administrators

The NYCDOE highly encourages charter planning teams to identify qualified school leader(s) by the time full applications are submitted, and preferably earlier. Involving instructional leaders and/or executive directors in the charter planning process is extremely valuable in developing a solid plan that will be carried into execution.

Personnel Process and Policies

- a. Describe the hiring policies and procedures of the school to be used, 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 to be used, 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 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.

The number of enrolled students in your charter school exceeds two hundred and fifty (250) on the first day that school commences student instruction, or you plan an average daily student enrollment exceeding two hundred and fifty (250) students at any point during the first two instructional years [Ed.L. §2854(3)(b-1)(i)].

B. Personnel

Reviewers will look for a financial management plan that includes the following:

- A budget consistent with all parts of the proposal, including school mission, educational program, and staffing plan
- Demonstrated knowledge of practical matters relevant to school operation
- Realistic assessments of projected revenues and expenditures
- Sound and logical financial assumptions
- Resources deployed over time in a manner that aligns with school goals
- Cash flow and financial projections that are free of sizable deficit over five years
- Rigorous and consistent internal / fiscal control procedures
- For CMO/EMO: Fees to CMO/EMO that do not duplicate services or products reflected in other budget lines

Financial Management

a. Describe the policies that your school will use 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.
 - Note: See <http://www.emsc.nysed.gov/psc/documents/TAAreview13-7-08.doc> for the NYSED's Charter School Applications Technical Assistance Advisory.

Exhibit Q - Five-year Operating Budget

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

- Use the interactive budget worksheet template in Appendix D, available under "Charter School Creation" at: <http://schools.nyc.gov/CharterSchools>
- Be sure to include stated and detailed assumptions of each revenue and expenditure line items where requested in the template.
 - Note: These are the same templates that were required in the concept paper.

Exhibit R - Budget Narrative

Charter School Office – Renewal Application – Part II: Prospective

Provide a written narrative summarizing financial forecasts from the school’s startup phase through its fifth year of operation.

- 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.

Note: If you are proposing to use a DOE facility, 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.

SECTION IV:
Will your school comply with all applicable rules and regulations?

A. Operations and Policies

Reviewers will look for operations and policies that include the following:

- A well-developed operations and policies section that reflects viable plans for health programs, food services, transportation services, student records, federal requirements, admissions and grievance policies
- Policies that are fair, reasonable and comply with all applicable laws and regulations
- An admissions policy (including outreach plans) for potential students that is equitable, non-discriminatory, and will ensure that the student populations will reflect community demographics and give preference to community school district (CSD) residents

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 CSO for more information.

d. **Student Records:** Describe processes to maintain student records, including attendance tracking.

e. **Federal Requirements:** Provide evidence that your school plans to meet 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 and English Language Learners 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. For additional information regarding this program, go to:
<http://www.ed.gov/nclb/landing.jhtml> and
<http://www.emsc.nysed.gov/deputy/nclb/nclbhome.htm>

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.
- **Note:** See <http://www.emsc.nysed.gov/psc/documents/TAArev13-7-08.doc> for the NYSED's Charter School Applications Technical Assistance Advisory.

4. **Facilities:**

a. **Location:** Describe the specific building, address, community, and community school district where you are planning to open your proposed charter school [Ed.L. § 2851(2)(i)].

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
- e. **Please indicate if you would also like to be considered for DOE space if available.**
- i. **Note:** The Chancellor has made it a priority to secure public school space for charter schools when feasible. Possible public school space might include available space in an underutilized building. Space might also become available in a building if a district or charter school has to close as a result of ongoing failure. In these cases, charter schools should be prepared to accommodate students in the immediate community who are impacted by local school closures.
 - ii. **Note:** While the provision of facilities frees up funds that a charter school can redirect toward the instructional needs of its students, applicants should have a clear understanding of the challenges implicit in this opportunity, including the following:
 - 1. Co-locating with another school or schools to share a single facility, requiring you to build collaborative relationships with other DOE and/or charter principals and share common space (cafeteria, gymnasium, auditorium)
 - 2. Making modifications to the charter’s proposed growth plan, enrollment configuration and/or admissions policy
 - 3. Being housed in a facility that may not be located in the specific community you wish to serve
 - 4. Working within the DOE timeline to plan facilities
 - 5. Potentially occupying an “incubator” space for fewer years than your charter and then moving into another space (which may or may not be permanent)

**SECTION V:
Miscellaneous**

A. Operational Impact / Dissolution

Reviewers will look for operational impact and dissolution plans that include the following:

- Reasonable fiscal impact on the educational budget of the New York City school system
- Clear plan for dissolution should the need arise

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. List the dollar amount (public revenues) that your charter school expects will follow children from each school district of the student's residence. See CSO budget template in Appendix D under "Charter School Creation" at: <http://schools.nyc.gov/CharterSchools>
 - b. Calculate the percentage of NYCDOE's overall funding that your charter school would receive assuming a NYCDOE's annual budget of \$17 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/admindex.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 by the first three years of operation to pay for legal and audit expenses related to the dissolution of the charter school, adhering to the following timeline:
 1. By April 1st of year 1 of a charter school's operation, the balance of the escrow account must be at least \$10,000;
 2. By April 1st of year 2 of a charter school's operation, the balance of the escrow account must be at least \$30,000; and
 3. By April 1st of year 3 of a charter school's operation, the balance of the escrow account must be at least \$70,000

Transfer the school's assets to another school within your school's prospective district

B Institutional Partnership Agreement

Reviewers will look for an Institutional Partnership Agreement that includes the following:

- An organizational design in which the board, as ultimately responsible for the success or failure of the school, retains its autonomy and reserves the authority to hold the institutional partner accountable for results
- Clear delineation of roles and authority between the school and the institutional partner
- Clear delineation of services to be provided by institutional partner and costs associated with those services

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