

UTAH CHARTER SCHOOL GRANT PROGRAM



GRANT PROPOSAL REQUIREMENTS
AND GUIDANCE

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FINAL CHECKLIST

- Have you checked for grammatical errors and spelling mistakes?
- Have people not involved in writing the grant application been used to edit the document and make sure that the document is clear and understandable?
- Have you stated things concisely and without redundancy?
- Have you prepared an electronic (Word or PDF) document to be e-mailed to marlies.burns@schools.utah.gov?
- Have you used a 12 point font in your document?
- Have you used 1 inch margins and printed your proposal on one side only of 8.5" x 11" paper?
- Have you refrained from using attachments unless approved by the Charter School Section?
- Are the cover page (pg. 29) and certifications (pgs. 30-33), with appropriate signatures, at the beginning of the electronic document?
- Does your lottery comply with U.C.A. §53A-1a-506?
- Have you targeted the rubrics as outlined in the Writers' Guide (pg. 27)?
- Is your completed USOE budget form included as an attachment? (USOE will include as Appendix A)
- Have you checked your requested budget to make sure all items are fundable?
- If you are requesting technology funds, is your school's updated Technology Plan on file with USOE? (if so, USOE will include as Appendix B)
- If you are requesting funds for a library, is your school's updated Library Plan on file with USOE? (if so, USOE will include as Appendix C)
- If you are requesting professional development funds (for staff or board members), have you included your Professional Development Plan as Appendix D?
- Is your Data Management Plan included as Appendix E? (This plan is not optional.)
- Have you cited the waivers you will request or have requested from your school's authorizer as Appendix F?

Utah Public Charter School Grant Program

2014-2015 CALENDAR

(Deadline Information in Red)

April 14, 2014

Grant Training

2:00 to 3:00 pm, USOE Basement West

RSVP: jo.schmitt@schools.utah.gov

May 2, 2014

Startup & Implementation Grant Application Due

Email: marlies.burns@schools.utah.gov

May – June

Revisions as necessary

June 6, 2014

Final Startup & Implementation Grant Application Due

Email: marlies.burns@schools.utah.gov

June 13, 2013

Applicants notified of grant status

July 31, 2014

Grant money distributed in monthly allotment

Startup grant fund distributions are tiered with 50% distributed in July, 25% in January, and 25% in April.

June 1, 2015

Deadline for requesting a 90-day no-cost extension

Submit request via e-mail to marlies.burns@schools.utah.gov

June 30, 2015

End of fiscal year

1.....GENERAL INFORMATION

INTRODUCTION

The Utah State Office of Education (USOE) received startup and implementation grants for \$2,100,000 to support qualified charter school founders whose new charter schools are in the initial phases and years of implementation.

The purpose of these funds is to expand the number of high-quality charter schools available to students in Utah by providing financial assistance for planning, program design, and initial implementation of new charter schools.

The startup and implementation grant program is for schools in the planning and first two years of operation with students. Only grant proposals meeting the USOE's grant standards will be funded. Startup grants require proposals. Implementation awards are automated based on available funds, the appropriateness of the proposed grant budget consistent with the applicant's charter agreement goals, student enrollment, need, student academic achievement, and progress made toward school goals as outlined in the charter agreement.

Questions regarding the USOE Charter School Grant Program may be directed to:

Marlies Burns, 801-538-7817 or marlies.burns@schools.utah.gov

Definitions:

Startup: The first (planning) year of the grant program. Startup grants can be submitted following charter approval.

Implementation: The second and third years of the grant program (first and second operational years with students). Implementation awards are based on enrollment, need, academic achievement, and progress made towards school goals.

ELIGIBLE APPLICANTS

Grant applicants must meet the requirements for charter schools in U.C.A. §53A-1a- 507 to be eligible for grant funds. All first year (startup) applicants must demonstrate their eligibility, through their charter application, to apply for these funds before an application will be accepted.

Funding for future years is contingent upon state appropriations. No more than 12 fiscal months can be used for startup activities and no more than 24 fiscal months can be used for implementation activities with funds received from this grant. The grant may be awarded for three fiscal years.

Schools that have received a state startup or implementation grant under another school name or before being reconstituted are not eligible. Schools must submit certain information required in the Eligibility Form, included in this grant program's Required Documents section. Only those schools determined to meet the eligibility requirements are eligible to submit a grant application.

LOTTERY/ENROLLMENT REQUIREMENTS

A charter school receiving these grant funds must use a lottery if more students apply for admission to the charter school than can be admitted consistent with U.C.A. §53A-1a-506.

Up to five percent (5%) of the students can be given preference in the enrollment process, consistent with those approved in the Charter Agreement, if those students are children or grandchildren of founding parents, teachers, or staff; live within a 2-mile radius of the school building; live in the municipality where the school building is located; live in the school district where the school building is located; or are students articulating from one charter school to another pursuant to an approved articulation agreement. A charter school whose mission is to enhance learning opportunities for refugees, children of refugee families, or English language learners, may give enrollment preference to refugees, children of refugee families, and English language learners. The charter school should clearly define what constitutes a "founder" and the criteria for meeting that definition in its enrollment policy. Charter school policy should also designate any criteria for students of teachers and staff (e.g., full- or part-time, years of employment, etc.). A charter school may never charge families to be designated a founder or to be enrolled in the charter school.

Siblings of students currently enrolled in the charter school and students articulating between charter schools governed by the same governing body may be exempt from the lottery if such provisions are contained in the Charter Agreement, and do not count towards the 5% preference limitation. Further, enrollment policies must include an open enrollment period that is advertised within the school's community so that all interested students may have an equal opportunity to apply for admission consistent with Board Rule R277-482. Students enrolled in a public school converting to charter status may be exempt from the lottery process.

A charter school may weight its lottery to give a slightly better chance of admission to educationally disadvantaged students, consistent with U.C.A. §53A-1a-506, including: low-income students; students with disabilities; English language learners; migrant students; neglected or delinquent students; and homeless students.

APPLICATION PROCESS (STARTUP)

Startup grant applicants are invited to attend the grant training. Additionally, each startup applicant is required to submit a Proof of Eligibility form (located in Chapter 6) and supporting documentation prior to submitting an application. Supplemental information may be requested by Charter School Section staff to determine eligibility. Please refer to the grants calendar on page 5 of this guide for training, due dates, and deadlines.

APPLICATION PROCESS (IMPLEMENTATION)

Implementation applicants may submit updated budgets according to the calendar on page 5. This request to continue is an automated award based on available funds, the appropriateness of the proposed grant budget, student enrollment, need, student academic achievement, and progress made toward grant goals as outlined in the charter agreement. This application is also referred to as the progress or performance report.

DEADLINE

Startup and implementation grant applications must be submitted electronically in their entirety, as a single document, by the close of business on or before the respective due dates. (Please refer to Grant Program calendar, page 5 of this guide.) **Applications not submitted in their entirety by the deadline will not be reviewed.** The Charter School Section welcomes applications prior to their due date.

FUNDABLE ACTIVITIES

Startup and implementation grant funds must be used for the following:

- 1) Post-award planning and design of the educational program, including refining results (standards) and measurements (evaluation) of progress toward those results.
- 2) Research-based professional learning activities for teachers and other staff and training offered through the grant program.
- 3) Initial implementation of the charter school including:
 - a) Informing the community about the school,
 - b) Acquiring necessary equipment and educational materials and supplies,
 - c) Acquiring, developing or aligning curriculum, and
 - d) Other initial operational costs.
 - i) Costs associated with creating and implementing office functions, such as accounting systems, attendance and registration systems, and human resources policies;
 - ii) Costs associated with the installation of computers, data systems, networks, and telephones;
 - iii) Personnel expenses incurred either before or after the school's opening, provided that these expenses are associated with initial implementation activities (i.e., as opposed to ongoing operations), such as program and curriculum development and integration, and teacher and staff recruiting. (*Note: If personnel split their time between ongoing operational activities and initial implementation activities, only that portion of the time associated with initial implementation of the charter school is allowable as an initial operational cost. The charter school must maintain accurate time and effort records to document the amount of time each employee works on tasks related to the initial implementation of the charter school.); and
 - iv) Rental or occupancy costs for the school facility for a reasonable period of time in preparation for the school's opening.

FUNDING LEVELS

Grant applicants under this program may receive up to \$300,000 over a thirty-six month period. The funding level cap encourages the charter school to focus on financial priorities. Budget cuts will not be compensated for in subsequent years of the grant program. Applicants should consider the grant cap and funding requests over the entire thirty-six month grant period when submitting an application. The grant program provides for not more than 36 fiscal months of funding.

Base: Ten percent (10%) of state grant funds, or \$210,000, will be split equally among applicants and is called the base. For FY15 the base amount is estimated at \$6,484.

Per Pupil: Ninety percent (90%) of state grant funds will be distributed on a per pupil basis using projected enrollment (years 1 and 2) and actual fall enrollment of first operational year (year 3). For FY15 the per pupil amount is estimated at \$141.

- Startup grant (year 1 – planning year) – applicant may request up to base + per pupil at 90% of projected enrollment
- Implementation grant (year 2 – first operational year) – applicant may request up to base + per pupil at 90% of projected enrollment.
- Implementation grant (year 3 – second operational year) – applicant may request up to base + per pupil at 100% projected enrollment ± the amount over- or under- funded in the school's first year of operation.

NO funding level is guaranteed. Schools may request up to the amount of base + per pupil for grant years 1 – 3, but the total requested over the entire grant period may not exceed \$300,000. If a school skips its planning year (i.e., receives a waiver to open one year prior to its applicant cohort) it will still be eligible for 36 months of funding. However, awards for years 2 and 3 will be adjusted based on the amount over- or under- funded in the school's prior year grant award. If a school does not open following its planning year, it must wait for its first operational year to apply for additional grant funds.

GRANT PROCESS

Charter School Section staff will review for adherence to assurances, budgetary restrictions, eligibility and compliance with submission requirements to determine if the application is in compliance with the basic requirements of the grant program.

Implementation funding for the second and third years of the grant program depend on a satisfactory progress report, additional information as outlined in Chapter 3, and a revised budget and budget narrative. Second- and third-year implementation applications are reviewed by Charter School Section staff. If information is incomplete or unsatisfactory, additional information may be requested and issues resolved before implementation funds are released. Implementation funding may be terminated if substantial progress is not being made to accomplish the goals articulated in the charter agreement.

SUBRECIPIENT MONITORING

As a condition of this grant, USOE is responsible for monitoring charter schools to ensure that they adhere to their Charter Agreement. This monitoring system reviews charter schools annually as required in U.C.A. §53A-1a-501.6.

RECORD KEEPING

The Charter School Section will keep track of specific information as a part of the grant. This may include attendance at mandatory trainings, submission of required reports, progress towards charter agreement performance goals, as well as other items. To assist with proper notification of requirements and school progress, grantee schools are required to notify Charter School Section of any administrator, leadership, or board turnover at the school during the full three-year grant cycle.

2.....STARTUP GRANT

FORMAT

Each grant application must be submitted following the formatting instructions:

1. Electronically: Submit in either a Word or Adobe Acrobat and Excel format as an email attachment to marlies.burns@schools.utah.gov
2. All pages must be standard letter size (8.5" x 11"); 12 point Times New Roman or Arial font; with a margin of at least one inch on all sides; and pages consecutively numbered.
3. Do not include curriculum, invoices or any other document not specifically required as an Appendix. If, for good cause, the applicant wishes to include additional information, e-mail marlies.burns@schools.utah.gov requesting permission with a rationale for the request. Extraneous material will be removed and will not be reviewed.

Note: Please see Chapter 5 of this guide for extended suggestions to your proposal preparation.

GRANT APPLICATION SEQUENCE

1. Cover page with charter school name (pg. 29)
2. Certifications (pgs. 30 – 33). Signatures of the Authorized Contact and governing board chair must be included. Provide a complete mailing address for the charter school, not just the street address.
3. Document footer should include the name of the charter school and the page number.
4. Required elements as outlined in the appropriate section of this application.
5. Appendix A: USOE Budget Form developed using the electronic Excel spreadsheet (USOE will attach as Appendix A)
6. Appendix B: Technology Plan if requesting technology funds (if on file with USOE via the charter application – no need to resubmit)
7. Appendix C: Library Development Plan if requesting library funds (if on file with USOE via the charter application – no need to resubmit)
8. Appendix D: Professional Development Plan if requesting professional development funds (if on file with USOE via the charter application – no need to resubmit)
9. Appendix E: Data Management Plan (required of all applicants)
10. Appendix F: List of Administrative Rules and their titles from which the charter school was waived (this may be different than what was requested). Do not submit the entire waiver request; the list of Administrative Rules and their titles should not be longer than one page.

REQUIRED ELEMENTS AND REVIEW CRITERIA

Applications shall include the following:

1. PROJECT BUDGET NARRATIVE

- A. Overview. Provide an overview of how grant funds will be used to address Charter School Performance Standards and goals in the Charter Agreement.
- B. Budget Narrative. Using the budget detail of the electronic budget, list the main line items for each goal. The budget detail page in the Excel spreadsheet should include hourly/daily rates, cost per item, or other detail sufficient to explain how the total line item amount was reached. No single line item should exceed \$10,000 without proper justification (i.e., a technology line item should be broken down to the number of systems and the cost per system). Line items without proper justification will be denied. Fully describe the proposed budget for three years. The proposed budget should not exceed the limitation of the amount that can be requested each year.
- C. Example. Here is an example of how each charter agreement goal's budget should be detailed.

Goal 1: Student Academic Achievement in Reading

80% of students will be sufficient / substantial in reading as measured by end-of-level CRTs by 2015. Reduce the percent of students identified as "below proficient" by 10% each year until less than 5% of students are in this category by 2015. Provide additional academic support through tutoring and use of computer assisted software.

- Establish baseline in 2014-15 school year.
- Analyze data to determine areas of needed focus to help students reach proficient status from 2014 assessment data.
- Utilize Direct Instruction in K-2 starting in 2015 to assure that 93% of the 1st – 3rd graders meet grade-level targets by the end of the year as measured by DIBELS.
- Utilize Core Knowledge literature and include domain vocabulary in all lessons in 2014-15 school year and beyond to develop cultural literacy and background knowledge.

Goal 1 – Reading Achievement	Year One	Year Two	Year Three
Library books will be purchased, over 3 years, approximately 350 books per grade level K – 8 (average of \$21.72 per hardback book)	\$15,204	\$22,806	\$30,408
Core Knowledge Literature sets - \$3000 per grade level for 6 classroom sets of novels aligned with the Core Knowledge sequence – 9 grade levels	\$6,000	\$9,000	\$12,000
Scholastic Core Knowledge Literature sets for 22 classrooms (\$425-475 per classroom)	\$10,450		
Kids Discover Magazine for K-3 – 12 subscriptions per classroom (12 classrooms at \$19.95 per subscription)		\$2,873	\$2,873
Total	\$31,654	\$34,679	\$45,281

2. FACILITIES UPDATE

- A. Facility Space. Briefly provide an update on the school's facility including if it is leased or owned. If leased, provide a copy of the executed lease.
- B. Building Codes. Describe any assistance that will be needed to bring the school's facility up to code (in particular, the American with Disabilities Act) prior to occupancy; list the needs and projected cost. If grant money is being requested to bring a facility up to code, document specific details from an outside source (e.g., contractor, architect, inspector, etc.).
- C. Long-Range Facility Planning. Provide information on how long-range facility planning for the charter school has been established. Describe how the current facility was or is being financed and how future facility needs will be financed.

MEETS STANDARD	MEETS STANDARD?		DOES NOT MEET STANDARD
	YES	NO	
<ul style="list-style-type: none"> Fully describes facility. If leased, executed lease provided. Detailed information provided on facility needs along with specific, reasonable projected costs. A comprehensive plan for long-range financial/facility planning fully described. Financing for current and future facilities detailed and thorough. 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<ul style="list-style-type: none"> Incomplete or no information on facility or no lease provided. Facility needs vaguely described and partial information on projected costs. Very weak financial/facility long-range planning process. Does not provide information on current and future facility financing.

DOES THE PROPOSAL MEET STANDARD FOR SECTION 2?

- YES.
- NO. APPLICANT DID NOT FULLY ADDRESS ALL ELEMENTS OF THE STANDARD.

3. PROFESSIONAL DEVELOPMENT (OPTIONAL)

- A. Professional Development Plan and Goals. Provide a summary of the charter school's professional development plan (the full professional development plan should be described in Appendix E, if requesting grant funds), including specific goals related to improving student achievement and a description of how results will be assessed. Mention all relevant participants in this description, including teachers, administrators, staff, and governing board members.
- B. Activities. Describe the activities that will be used to achieve the goals of the professional development plan. Activities must be research-based, ongoing, and embedded into the daily life of the school. They must be proven to be effective in improving student academic achievement. For instance, if the school will establish a mentor teacher program, what is the research basis for that activity and how will success be measured?
- C. Connection to Technology Plan. Specifically define how the professional development plan matches the use of technology in your building. This description should correlate with the school's technology plan (the full technology plan should be described in Appendix B, if requesting grant funds)
- D. Compliance with ESEA. Describe how the school's professional development plan will ensure that all teachers are highly qualified pursuant to the requirements of the federal ESEA.

3.....IMPLEMENTATION GRANT

Generally, each implementation request will be reviewed in light of the grantee's attentiveness to fiscal considerations and responsibility in use of grant funds to date.

Factors that will be considered include, but are not limited to:

- Any significant, unexplained discrepancies between approved and actual prior year grant expenditures;
- The legitimacy of the planned expenditures in the context of the recipient's overall financial picture;
- Evidence that the charter school is being operated in accordance with the information provided in the first year's grant proposal, including the demonstration of accountability;
- Progress made toward goals outlined in the first year application;
- Failure to make adequate yearly progress or satisfactory student academic achievement; and
- Student enrollment and need.

FORMAT

Each implementation application must be submitted electronically to the Charter School Section. The application should be submitted in either a Word or Adobe Acrobat format and the budget should be submitted in an Excel format via an e-mail attachment. Not more than two electronic files should be submitted: the first either a Word or PDF with the implementation application and a second an Excel file containing the electronic budget.

The following formatting instructions are mandatory:

1. All pages must be standard letter size (8.5" x 11"); 12 point Times New Roman or Arial font; with a margin of at least one inch on all sides; and pages consecutively numbered.
2. Label email and all attachments with the charter school name. The Word/PDF file should have a footer with the charter school name.
3. Cover page with charter school name (pg. 29)
4. Certifications (pgs. 30 – 33). Signatures are not needed for implementation grant applications unless there is a 90-day no-cost extension or a request for original grant budget or goal modification (pg. 33). Provide a complete mailing address for the charter school, not just the street address.
5. Required elements as outlined in the appropriate section of this application.
6. Appendices

NOTE: PLEASE SEE CHAPTER 5 OF THIS GUIDE FOR EXTENDED SUGGESTIONS TO YOUR PROPOSAL PREPARATION.

APPENDICES

1. Appendix A: USOE budget form using the Excel electronic file.
2. Appendix B: Amended technology plan (if applicable).
3. Appendix C: Amended library plan (if applicable).
4. Appendix D: Amended professional development plan (must be updated from previous year). If the charter school did not meet the state median Total Point score, the professional development plan must be tied to improving student academic achievement in reading and math.
5. Appendix E: Amended data management plan (if applicable)
6. Appendix F: List of Administrative Rules and their titles from which the charter school was waived during the previous year (if applicable).

REVIEW PROCESS

Charter School Section staff will review each performance report. Grantees may be asked for additional information. Failure to satisfactorily provide the requested additional information by the deadline may result in the applicant not being funded. It is possible that year two and/or year three funding will be terminated if there is sufficient cause.

REQUIRED ELEMENTS AND REVIEW CRITERIA

Performance reports shall include the following:

1. EXECUTIVE SUMMARY

MEETS STANDARD	MEETS STANDARD?		DOES NOT MEET STANDARD
	YES	NO	
<ul style="list-style-type: none"> • Clear evidence the school has used grant funds to address the vision and mission of the charter. 	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> • Limited evidence the school has used grant funds to address the vision and mission of the charter.
<p><i>DOES THE SUMMARY MEET STANDARD FOR SECTION 1?</i></p> <p><input type="checkbox"/> YES.</p> <p><input type="checkbox"/> NO. APPLICANT DID NOT FULLY ADDRESS ALL ELEMENTS OF THE STANDARD.</p>			

2. GENERAL PROGRESS REPORT ON EACH GOAL

Both a narrative and a quantitative update on progress made on selected charter agreement goals.

MEETS STANDARD	MEETS STANDARD?		DOES NOT MEET STANDARD
	YES	NO	
<ul style="list-style-type: none"> • Progress report indicates significant progress made on selected goals. • Progress demonstrates strong likelihood of student academic achievement during the implementation grant period. 	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<ul style="list-style-type: none"> • Progress report indicates limited progress on selected goals. • Progress demonstrates minimal impact on student academic achievement during the implementation grant period.
<p><i>DOES THE REPORT MEET STANDARD FOR SECTION 2?</i></p> <p><input type="checkbox"/> YES.</p> <p><input type="checkbox"/> NO. APPLICANT DID NOT FULLY ADDRESS ALL ELEMENTS OF THE STANDARD.</p>			

3. BUDGET NARRATIVE

The budget narrative should be aligned with charter agreement goals. Report funds that were spent and any budget revisions or reallocations.

MEETS STANDARD	MEETS STANDARD?		DOES NOT MEET STANDARD
	YES	NO	
<ul style="list-style-type: none"> • Budget request aligns with selected goals. • Budget detailed & specific; not vague and does not include estimates. • Almost all of previous grant award spent or encumbered. 	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<ul style="list-style-type: none"> • Budget request only somewhat aligns with selected goals or with only some of the charter agreement goals. • Budget vague and without specific detail. • Small portion of previous grant award spent or encumbered.
<p><i>DOES THE BUDGET NARRATIVE MEET STANDARD FOR SECTION 3?</i></p> <p><input type="checkbox"/> YES.</p> <p><input type="checkbox"/> NO. APPLICANT DID NOT FULLY ADDRESS ALL ELEMENTS OF THE STANDARD.</p>			

4. CHARTER SCHOOL PERFORMANCE STANDARDS

DOES THE CHARTER SCHOOL MEET AT LEAST 90% OF CSPS?

- YES.
- NO. APPLICANT DID NOT MEET UCAS TOTAL POINTS MEDIAN.

4.....BUDGET INFORMATION

INTRODUCTION

The proposed budget and the budget narrative should support the selected startup grant goals. There should be a clear relationship between the proposed activities and how the funds will be spent. Startup (year one) applications should contain budgets for **three** years of funding; Implementation (years two and three) should contain budgets for **two** years and **one** year of funding, respectively.

Budgets for the anticipated amount of funding must be submitted on the USOE Budget Form, using the Excel template, and conform to the object code categories (listed in this chapter) that public schools use in their accounting system.

BUDGET DEVELOPMENT

The budget period for this grant is **July 1 through June 30** of each year. The proposed grantee budget should reflect that timeframe.

Each line item in the budget narrative should note the object code, quantity, the budget amount, project number and year, a justification, and a date the activity will be completed. All columns should be complete. No single line item should be more than \$10,000 without a detailed justification. Break down line items exceeding \$10,000 through notations of quantity, explanation, or additional line items to clarify how funding will be expended. Generalities will be asked to be clarified. Each project goal should have a related budget narrative that is subtotaled. Budgets categorized by year, rather than project number, are more easily read and therefore, expedite approval. Do keep in mind that budget submissions can go through several reviews prior to approval; budget time adequately.

To ensure that funds go as far as possible, funds should supplement rather than supplant local effort. Funds for salary & benefits should not exceed \$5,000 per month and should be limited to implementation activities. Funds should not be used for routine operational costs of the school that are a regular ongoing part of a school budget. Proposed budgets should reflect actual projected costs at a reasonable level. Budget line items that are unrealistic may be cut or trimmed. For example, although \$5,000 is requested for a new laptop computer, only \$2,000 may be approved. It is in the best interest of the charter school applicant to request only reasonable funding levels in order to maximize the total award.

BUDGET REVISION

Periodically an approved grant budget must be revised due to a change in need at the school or a supplemental grant award. On school letterhead, and signed by both the project director and Authorized Contact, provide the date and reason for the budget revision and any notes that would help explain the need for the revision.

If the revision is to address a modification requested by the charter school, it is best to contact Charter School Section staff first to make sure the change will be approved. The email request should completely explain the reason for the request. Expenditure of unapproved grant costs is not allowable. Upon Charter School Section approval, the revised budget replaces the previously-approved budget. The email from Utah's Charter School Section will be the official documentation to begin spending or encumbering grant funds.

GRANT AWARD PROCESS

Within 30 days of the grant application submission, USOE will send applicants an email with required changes before final approval. Awards are contingent upon an approved application and may never be spent retroactively. After the additional information is satisfactorily provided to Charter School Section, the applicant will receive a grant award letter stating the grantee has final approval. Funds should not be spent or encumbered until the grant has received final approval.

BUDGET GUIDANCE

Items that cannot be funded and therefore should not be requested:

- Gift certificates; alcoholic beverages; school apparel for staff; school apparel for students not eligible for free/reduced lunch; fines and penalties; lobbying; non-educational promotional/novelty items for advertising, parades, open houses or recruiting.
- Program expenses outside of the school's charter (i.e., before/after school programs and preschool).
- Out-of-state travel unless it can be demonstrated that the goal of the travel cannot be accomplished in-state (no out-of-country travel is permitted).
- Site licenses for software in year three of the award (should be operational at this time).
- Bus passes.

NOTE: UNDER NO CIRCUMSTANCES WILL AN IMPLEMENTATION GRANT BE AWARDED TO A CHARTER SCHOOL THAT HAS BEEN NOTIFIED BY ITS AUTHORIZER THAT THE CHARTER CONTRACT WILL BE REVOKED OR OPENING DATE WILL BE POSTPONED.

All line items should have sufficient detail, including the number of units, cost per unit and the purpose for the proposed expenditure. Items without sufficient detail will result in a request for additional information, which will delay final approval.

- Attendance at conferences must be justified and is limited to two individuals, unless it can be demonstrated that attendance is necessary for additional board or staff for professional development purposes.

BUDGET CATEGORIES

Examples of the types of expenses that may be included in each object category are listed below for categorization guidance only. Your budget narrative should give enough detail so that the appropriate object category can be confirmed.

Instructional Program. Instruction includes the activities dealing directly with the interaction between teachers and students. Teaching may be provided for students in a school classroom, in another location such as a home or hospital, and in other learning situations such as those involving co-curricular activities. It also may be provided through some other approved media such as television, radio, telephone, and correspondence. Included here are the activities of paraprofessionals, aides, and classroom assistants, clerks, or graders, and the use of teaching machines or computers which assist in the instructional process of interaction between teachers and students.

Support Program. Support service programs are those activities which facilitate and enhance instruction. Support services include school-based and general administrative functions and centralized operations for the benefit of students, instructional staff, other staff, and the community.

(100) Salaries - Amounts paid to employees of the school in positions of a permanent nature or hired temporarily, including substitutes for those that are in permanent positions (on payroll). Amounts for instruction, planning, administration, etc. should be broken out.

(200) Employee Benefits - Amounts paid by school on behalf of employees which are over and above salary (e.g., state and local retirement, social security, group/industrial/unemployment insurance & other fringe benefits.) Amounts for instruction, planning, administration, etc. should be broken out.

- Allowable salaries and benefits (prior to school opening) are limited to \$5,000 per month; required information includes name, title, a list of activities funded by the grant, percentage of time per week and length of time grant funding will be used to cover the salary.

(300) Purchased, Professional & Technical Services - Purchased services which, by their nature, can be performed only by persons with specialized skills, knowledge and services. Included are the services of accountants, architects, auditors, consultants, lawyers, etc. (list substitutes hired for permanent positions under "salaries"). This area will also include any associated expenses paid to the service provider such as travel, per-diem, and miscellaneous items.

- Evidence of following procurement as outlined in the Charter Agreement must be provided, as well as an executed copy of any contracts that will be paid in part or whole by grant funds.

(400) Purchased Property Services - Amounts paid for services, rendered by organizations or personnel not on payroll of the school, to operate, repair, maintain, insure and rent property owned and/or used by the school.

(500) Other Purchased Services - Amounts paid for services rendered by organizations or personnel not on payroll of the school, and other than Professional and Technical Services (300), or Purchased Property Services (400). This would also include expenses for meeting facilities, conference hotels (which may include direct-billed items for group meals and lodging provided to participants, equipment, space charges, and miscellaneous). Also, any travel and per-diem expenses for participants.

- Charter School Section staff recommends schools consider using some grant funds for activities such as charter school association conferences and symposia, required governing board and staff meetings/trainings, and optional activities (e.g., job fairs, parades, community fairs, etc.).

(580) Travel - Expenditures for transportation, meals, hotel, and other expenses associated with staff (on payroll) travel for the school. Payments for per-diem in lieu of reimbursements for subsistence (room and board) also are charged here.

(600) Supplies/Materials - Amounts paid for items of an expendable nature that are consumed, worn out, or deteriorated in use; or items that lose their identity through fabrication or incorporation into different or more complex units or substances are considered supply expenditures. Amounts paid for non-equipment items and with reasonable care and use may be expected to last for more than one year, are considered material expenditures. Includes computer programs (software).

(700) Property - Expenditures for the acquisition of fixed assets, including expenditures for land or existing buildings and improvements of grounds; initial equipment; additional equipment; and replacement of equipment. (i.e., machinery, school buses, furniture & fixtures, audiovisual equipment, non-bus vehicles, computer equipment (hardware)).

Some expenditures may cross object category lines. For example, community services or parental involvement may include salaries, purchased services (printing) and supplies/materials. The budget narrative should identify these elements so that a total cost of the activity can be determined.

GENERAL GRANT MANAGEMENT

Authorized Contact. The person who has the legal authority to sign legal documents on behalf of the school. If this is not the chair of the governing board (due to a conflict of interest), the school must submit a copy of the board's resolution/motion designating someone else as the Authorized Grant Contact. The Authorized Contact should be a member of the charter school and not an educational service provider or contractor. The board authorization needs to delegate responsibility to execute the approved grant application, comply with the certifications of the grant program, including all fiscal requirements, and act as the board's authorized official for the grant award. The Authorized Contact can have no conflict of interest with any party (i.e., employee, contractor, vendor, etc.) that has a financial interest in the grant award.

Authorized Contact Responsibilities. Responsibilities of the Authorized Contact include:

- Oversight of the entire grant project.
- Manage grant budget.
- Responsibility for compliance with state laws and guidance regarding grant management.
- Liaison with Charter School Section and attend required meetings.
- Liaison with charter school governing board to provide regular updates.

Disposition of Grant Property. When property is no longer needed, or a charter school that has received Startup or Implementation funds closes, the following policy applies:

- a. Closing/closed charter schools: All non-consumable items of value purchased with grant funds must be returned to the charter school authorizer for distribution. The charter school's authorizer, if not the State Charter School Board, is responsible to notify the Charter School Section staff the reason for the school's closure, a statement of how the assets will be distributed, and file a Final Report consistent with U.C.A. §53A-1a-510.5.
- b. Operational charter schools wishing to sell, give-away, or dispose of non-consumables purchased with grant funds: Any proceeds from the sale of property must go back into the funded program (i.e., money from the sale of computers goes into the technology fund). Grant records should reflect depreciation, disposition, and an updated inventory record for six years after completion of grant funding.

Change of Status. Should the charter school change to non-charter status within ten years of receiving grant funds, grant funds must be reimbursed to SCSB. An exception may be made for schools that convert status due to either federal or state law requirements for academic purposes.

Conflicts of Interest. Schools must avoid apparent and actual conflicts of interest when administering grants and entering into contracts for equipment and services. State laws regarding conflicts of interest are very strict. It is the responsibility of the charter school governing board to be in compliance with conflicts of interest policies. Authorized Contacts and governing board members must have no real, apparent, or potential conflict of interest with any vendors contracted to provide services funded under a school's grant or personnel compensated for grant-sponsored activities, except as provided in U.C.A. §53A-1a-518.

Grant Closeout. A request for end date extension must be received by the Charter School Section no later than June 1 of the year the grant is due to be completed. If it is determined that any grant funds have been misused, grant funds must be returned to SCSB. SCSB may terminate a grant award upon thirty days' notice if it is determined that the applicant is not fulfilling the funded program responsibilities as specified in the approved application.

Each awarded charter school is responsible for annual financial audits including these grant funds. Federal audit requirements contained in the Single Audit Act (OMB Circular A-133) may also apply. The charter school is expected to provide its fiscal agent with complete financial information to satisfy federal and state requirements.

Financial Reports. An Annual Financial Report (AFR) and Annual Program Report (APR) is required to be filed by October 1st of each year. The Audited Financial Statement is required to be filed by November 30th of each year. The AFR and APR reports actual expenditures made from the grant and the Audited Financial Statement is completed by an independent external auditor. If the AFR, APR, or Audited Financial Statement is not filed on time, complete, and accurate, grantees risk losing their funds for the following year.

Extension of Time to Expend Grant Funds. The grant fiscal year ends June 30 of each year. If a school anticipates that it will be unable to spend grant funds by the end of the fiscal year, an extension request form must be filed no later than June 1. An extension allows up to 90 additional days to expend funds. Extension requests should outline the reason for delay, the amount of carryover and the anticipated timeline and new end date. The grantee is still bound by the budget that was submitted, and approved, and is expected to adhere to that budget. The extension is subject to approval by Charter School Section and is not guaranteed. It's important for grantees to monitor their spending throughout the year and make the necessary budget revisions to meet the original deadline. Grantees should not assume they will be granted an extension, rather an extension should be the last resort when budgeting funds. The following year's funding will be held until spending of the extended funds is complete.

5.....GRANT WRITING GUIDANCE

This section is a guide for completion of the Charter School Startup Grant application.

SECTION ONE: GENERAL GRANT WRITING SUGGESTIONS

Here are some things to keep in mind as you get ready to create your proposal:

- Carefully read this entire Grant Proposal, paying particular attention to the scoring rubrics. Those rubrics are what the Charter School Section will use to score your proposal.
- Allow yourself plenty of time to conduct planning, gather data, and collect the necessary information from other sources. For instance, you will need the Charter Agreement, the school's professional development plan, technology plan, library plan, and data management plan.
- Follow the directions for the format of your proposal.
- Proofread your final proposal.
- When you have finished writing your proposal, but before you submit it to the state, have someone who has not been involved in the writing process read it and score it using the rubrics.

SECTION TWO: TARGETING THE RUBRICS

1. Project Budget Narrative

- Does the proposal budget reflect realistic selected goals and meet the needs of the school?
- Is the budget detailed enough to give the reader confidence that the budget has been researched and thought through?
- Does the budget describe requests for all three years of the grant program?
- Does the budget reflect the prudent use of funds for a charter school given the limited funds available to public schools? (i.e., If these funds were your own personal funds, could you still rationalize the proposed uses/expenditures?)

2. Facilities Update

- Is there an updated description of the facilities for the school?
- Is there a description of how the facility was funded, and whether the facility was renovated or a new building built?
- Is the executed financial contract submitted?
- Has the school made plans for future growth that is financially solvent?
- Does the applicant describe the school's long-range financial and facility plan?

3. Professional Development (PD)

- Does the PD plan include relevant subgroups, such as teachers, administrators, staff, and governing board members?
- What is the research basis for the PD plan and is it matched to the school's approved educational program and staff needs?
- Are PD activities embedded so that attendees can learn from them right away?
- Does the PD plan match Charter Agreement and grant goals?
- If money is requested for technology, how will the staff be trained to use that technology?
- Does the PD plan address the ESEA's requirement for "highly qualified" teachers?

SECTION THREE: BUDGET NARRATIVE

Budgets are completed using the Excel file located at:

<http://schools.utah.gov/charterschools/Funding/Funding-Grants.aspx>. Budget forms are not available in a hard copy format. The grant application should include the Excel pages via an email attachment.

The Excel application allows interaction among worksheets and calculates subtotals and totals automatically. The electronic budget application contains the following worksheets:

1. Cover Page
2. Part I – Summary
3. Part II – Summary
4. Salaries & Benefits (100-200)
5. Professional Services (300)
6. Property Services (400)
7. Other (500)
8. Travel (580)
9. Supplies and Materials (600)
10. Property (700)

Please remember to submit a separate document summarizing revisions when submitting revisions and supplemental budgets outlining the changes made and additions to the existing budget.

Year one applicants must complete a budget for the full three years of the grant program. Year two applicants must submit a budget for two years and year three applicants a budget for one year. However, do not delete the prior year's budget.

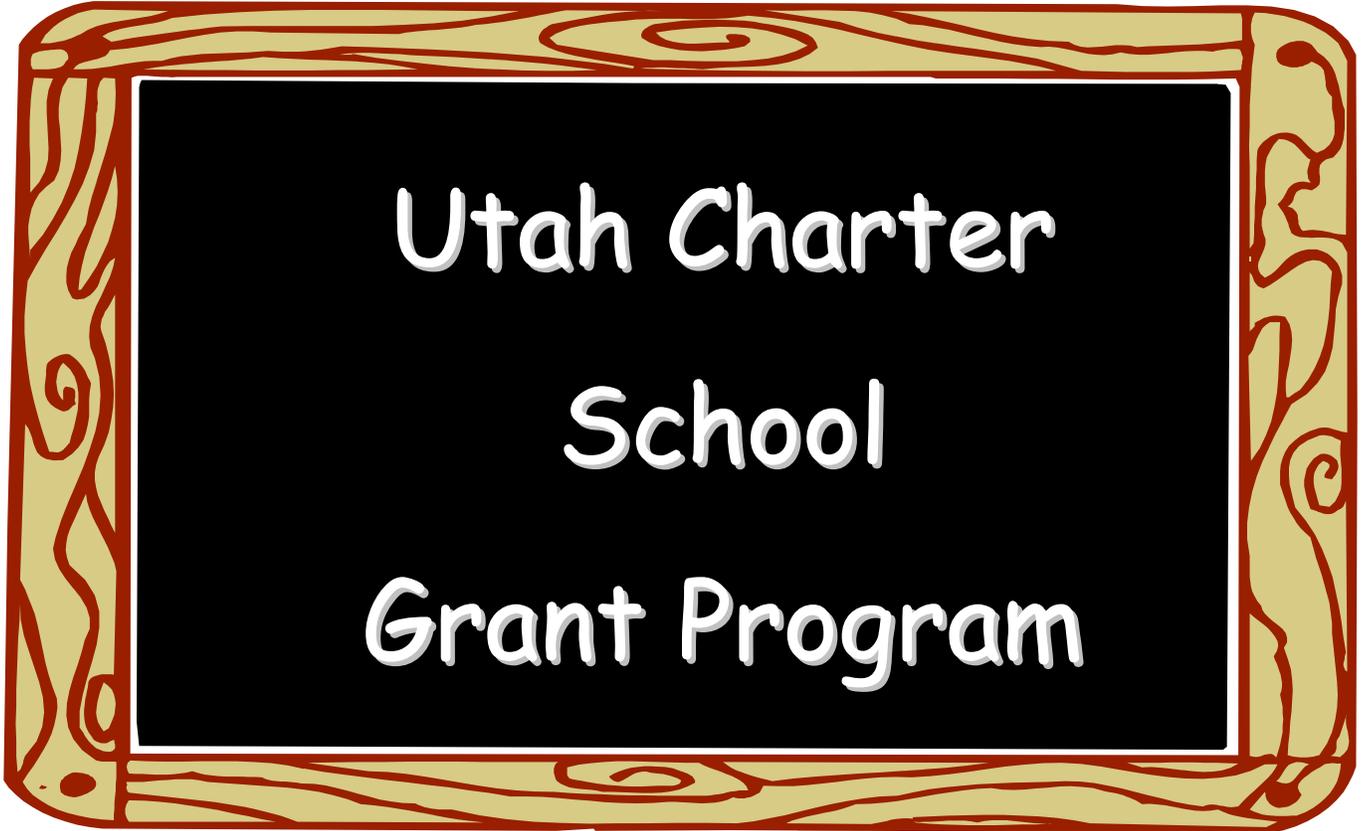
SECTION FOUR: TIPS

- Make sure the application is complete (e.g., required appendices, signatures, each required element section, etc.).
- Be clear, concise, and coherent.
- Don't annoy the reader with poor formatting, repetition, grammatical errors, misspelled words, or incomplete thoughts.
- Don't use education jargon or acronyms without first explaining them.

6.....REQUIRED PAGES & FORMS

Utah State Office of Education

COVER PAGE



Date received by USOE: _____ (USOE use only)

Application for:

(NAME OF CHARTER SCHOOL)

_____ # OF STUDENTS THIS OR FIRST SCHOOL YEAR

\$_____ AMOUNT REQUESTED THIS BUDGET YEAR

DEADLINE:

MAY 2, 2014

Utah State Office of Education – Charter School Grant Program

I. CHARTER SCHOOL INFORMATION

1. Name of charter school

2. Complete Mailing Address

3. Authorized Contact

4. Phone Number

5. Fax Number

6. E-mail Address

II. AUTHORIZER INFORMATION

(Complete if authorizer is other than State Charter School Board)

7. Authorizer

8. Complete Mailing Address

9. Contact Person/Authorized Representative

10. Phone Number

11. Fax Number

12. E-mail Address

13. Authorizer Superintendent/Executive Director

14. Authorizer Board President

15. Date Charter School Approved

16. Date Charter Agreement Signed (submit executed copy)

III. REQUIRED INFORMATION

17. **Autonomy:** Describe how this charter school will operate autonomously from the authorizer and any education service provider/contractor. Specifically address financial decision-making and business operations, services purchased from a third party, charter school governing board members not associated with the school district, and legal independence.

18. **Governing board members:** Provide updated list of governing board members for this charter school. For each new board member that wasn't part of the information submitted in the charter application, explain their expertise, role on the board (e.g., community member, parent), board title (e.g., president, secretary), and way they came to be on the board (e.g., elected, appointed). Briefly describe the expertise each brings to the board.

19. **Lottery policy:** Include the charter school's lottery policy, which addresses criteria listed in the grant proposal requirements including answers to the following questions. (Note: if on file with USOE via the charter application – no need to resubmit)

1. How was/will the community (be) notified of the charter school's opening?
2. What is/will be the date of the first, and thereafter, annual lottery?
3. What is the charter school's definition of "founding member" and what percentage of students were enrolled as children of founding families?
4. Was/will a lottery (be) conducted for students between the 5% allowable for specific types of preference (listed on pg. 7) and the school's 100% capacity?
5. How was/will the first class of students (be) enrolled relative to the aforementioned questions? Were/will any students (be) given priority notice or guaranteed admission?

20. Projected Enrollment

2014-15: Grade K _____, Grades 1-6: _____, Grades 7-8: _____, Grades 9-12: _____ Total: _____

2015-16: Grade K _____, Grades 1-6: _____, Grades 7-8: _____, Grades 9-12: _____ Total: _____

2016-17: Grade K _____, Grades 1-6: _____, Grades 7-8: _____, Grades 9-12: _____ Total: _____

21. Amount Requested (all 3 years should be completed).

Year One (Startup): _____

Year Two (Implementation): _____

Year Three (Implementation): _____

IV. Certifications

Charter schools that accept funding through the Utah State Charter School Board Startup & Implementation Grant Program agree to the following certifications: *Read and check*

1. The applicant possesses the legal authority to apply for this grant, a resolution or motion has been adopted by the applicant's governing body which authorizes the submission of this application, including all understanding and assurances contained herein, directing and authorizing the Authorized Contact to act in connection with the application and to provide additional information as may be required.

2. Recipients will, for the life of the charter, participate in all data reporting and evaluation activities as requested by the Utah State Office of Education; this includes participation in any federal or state funded charter school evaluations or studies, final grant report documentation, and financial statements.

- 3. Recipients will comply with federal laws including, but not limited to, the Age Discrimination Act of 1975, Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and Part B of the Individuals with Disabilities Education Act.
- 4. Recipients will comply with U.C.A. §53A-1a-506, which includes the use of a lottery for enrollment if the charter school is oversubscribed.
- 5. Recipients will ensure that at least one person from the charter school will subscribe to the USOE Charter Schools, Charter School Business Officials, and Governing Board E-mail Listserv for the life of the charter.
- 6. Recipients operate (or will operate, if not yet open) a charter school in compliance with all state and federal laws, rules, regulations, and State Charter School Board and Utah State Board of Education directives.
- 7. Recipients shall ensure that a student's records, and, if applicable, a student's individualized education program are transferred to a charter school upon the transfer of the student to the charter school, and to another public school upon the transfer of the student from a charter school to another public school, in accordance with applicable law.
- 8. Recipients will comply with all provisions of the ESEA, including but not limited to, provisions on School Prayer, the Boy Scouts of America Equal Access Act, the Armed Forces Recruiter Access to Students and Student Recruiting Information, the Unsafe School Choice Option, the Family Educational Rights and Privacy Act (FERPA), and Privacy of Assessment Results.
- 9. Recipients will ensure that the awarded grant funds will be spent or encumbered by June 30, 2015 unless an extension is requested by June 1, 2015.
- 10. Recipients shall maintain accounting records and other evidence pertaining to costs incurred, with the provision that the records shall be kept available by the grantee during the grant period and thereafter for six full years from the date of final payment. USOE must be permitted to audit, review, and inspect the grantee's activities, books, documents, papers and other records relating to the expenditures of grant proceeds. The recipient further agrees to comply with all federal and state audit requirements and ensures that arrangements have been made to finance those mandatory audits.
- 11. Recipients understand that if any findings of misuse of grant funds are discovered project funds must be returned to the State Charter School Board and that State Charter School Board may terminate a grant award upon 30 days' notice if it deems that the recipient is not fulfilling the funded program as specified in the approved grant application.
- 12. Recipients are required to keep and maintain all equipment purchased with grant funds in accordance with state law; should the charter school close the authorizer agrees to notify the Charter School Section of the reason for closure and agrees to notify the Charter School Section regarding the disposition of assets purchased by this grant.

13. Recipients understand that the state will own all rights, title and interest in all of the intellectual property rights, including copyrights, patents, trade secrets, trademarks, and service marks in the works and documents created and paid for under this grant program.

14. Recipients will avoid apparent and actual conflicts of interest when administering grants and entering into contracts for equipment and services consistent with U.C.A. §53A-1a-518.

15. Recipients certify that they have a signed charter agreement. If school has been approved, but charter agreement has not been executed, recipients understand that they will not be awarded grant funds until a contract between the school and authorizer has been executed and signed. Evidence of a signed contract must be provided prior to funding.

Note: The ESEA, Title V, Part B [20 USC 7221c. Section 5204, (e)(4)(B)] states, “A local educational agency may not deduct funds for administrative fees or expenses from a grant awarded to an eligible applicant, unless the applicant enters voluntarily into a mutual agreed upon arrangement for administrative services with the relevant local educational agency. Absent such approval, the local educational agency shall distribute all grant funds to the eligible applicant without delay.”

V. Certification by Charter School Governing Board

The governing body of the charter school applicant has authorized the filing of this application and the undersigned representatives have been duly authorized to file this application and act as the Authorized Contact of the applicant in connection with this application.

We do hereby certify that all facts, figures, and representations made in this application are true and are correct and are consistent with the statement of certifications. Furthermore, all applicable statutes, regulations, and procedures for program and fiscal control and for records maintenance will be implemented to ensure proper accountability of funds distributed for this project. All records necessary to substantiate these items will be available for review by state and federal monitoring staff for six years from the receipt of the last grant funds. We further certify that all disbursements: (1) will be obligated after the grant has been awarded, following the approved budget, and prior to the termination date; (2) have not been previously reported; and (3) were not used for matching funds on this or any special project.

VI. Signatures

WE, THE UNDERSIGNED, do hereby agree to the certifications contained in Sections IV and V above.

Signature of Authorizer Superintendent or Exec. Director
(if other than State Charter School Board)

Signature of Charter School Board Chair

Signature of Authorized Contact

7..... FREQUENTLY ASKED QUESTIONS

1. After our money has been awarded, how do we receive our money?

After you're officially notified of your annual grant award amount and after the school has opened a qualifying bank account, the funds will be deposited in the school's monthly allotment.

2. We received donated items for some of the things requested in our budget. Can we change that line item in our budget?

Yes. Submit a revised budget to the Charter School Section for approval. The reallocated funds should be for something addressed in the project goals.

3. Our founders wrote our school's grant application. Now that the staff is hired, we'd like to change it. Can we?

Yes, but the requested changes should still fit under the selected Charter School Performance Standards or Charter Agreement goals. Submit a revised budget to the Charter School Section for approval. A narrative explaining the changes should be included with the revised budget.

4. Can we pay current staff salaries with grant funds?

Yes, but only within the allowable amounts (pg. 23) and for implementation activities (pg. 8).

5. Are computers classified as equipment?

Yes. For purposes of the budget form, computers are listed on the equipment tab. Even though individual computers rarely meet established thresholds for capitalization from an accounting standpoint, they are referred to as equipment in the grant program.

6. What do I do with receipts?

It is up to each individual authorizer to designate the means of register or proof of expenditures they need.

7. We received an implementation grant for our school, but now we've decided to delay opening for a year? Can we keep the implementation grant award?

No. You will need to decline the implementation award and apply again next year. If any funds have been spent, they must be repaid to USOE within 30 days of the charter school authorizer's decision to delay opening.

8. How can our school change the Authorized Contact?

The charter school governing board must vote to designate a new Authorized Contact and provide evidence of this change to the Charter School Section at USOE.