

**U.S. Department of Education**  
**Washington, D.C. 20202-5335**



**APPLICATION FOR GRANTS**  
**UNDER THE**

**84.282A CSP Grants to State Entities**

**CFDA # 84.282A**

**PR/Award # U282A170007**

**Grants.gov Tracking#: GRANT12401417**

OMB No. , Expiration Date:

Closing Date: May 18, 2017

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This application was generated using the PDF functionality. The PDF functionality automatically numbers the pages in this application. Some pages/sections of this application may contain 2 sets of page numbers, one set created by the applicant and the other set created by e-Application's PDF functionality. Page numbers created by the e-Application PDF functionality will be preceded by the letter e (for example, e1, e2, e3, etc.).

| Application for Federal Assistance SF-424  |  |  |
|--|--|--|
| * 1. Type of Submission:<br><input type="checkbox"/> Preapplication<br><input checked="" type="checkbox"/> Application<br><input type="checkbox"/> Changed/Corrected Application | * 2. Type of Application:<br><input checked="" type="checkbox"/> New<br><input type="checkbox"/> Continuation<br><input type="checkbox"/> Revision | * If Revision, select appropriate letter(s):<br><input type="text"/><br>* Other (Specify):<br><input type="text"/> |
| * 3. Date Received:<br><input type="text" value="05/17/2017"/>   | 4. Applicant Identifier:<br><input type="text"/>   |  |
| 5a. Federal Entity Identifier:<br><input type="text"/>   | 5b. Federal Award Identifier:<br><input type="text"/>  |  |
| <b>State Use Only:</b>   |  |  |
| 6. Date Received by State: <input type="text"/>  | 7. State Application Identifier: <input type="text"/>  |  |
| <b>8. APPLICANT INFORMATION:</b>   |  |  |
| * a. Legal Name: <input type="text" value="Minnesota Department of Education"/>  |  |  |
| * b. Employer/Taxpayer Identification Number (EIN/TIN):<br><input type="text" value="REDACTED"/>   | * c. Organizational DUNS:<br><input type="text" value="REDACTED"/>   |  |
| <b>d. Address:</b>   |  |  |
| * Street1: <input type="text" value="1500 Highway 36 West"/>   | Street2: <input type="text"/>  |  |
| * City: <input type="text" value="Roseville"/>   | County/Parish: <input type="text"/>  |  |
| * State: <input type="text" value="MN: Minnesota"/>  | Province: <input type="text"/>   |  |
| * Country: <input type="text" value="USA: UNITED STATES"/>   | * Zip / Postal Code: <input type="text" value="55113-4035"/>   |  |
| <b>e. Organizational Unit:</b>   |  |  |
| Department Name:<br><input type="text"/>   | Division Name:<br><input type="text"/>   |  |
| <b>f. Name and contact information of person to be contacted on matters involving this application:</b>  |  |  |
| Prefix: <input type="text" value="Ms ."/>  | * First Name: <input type="text" value="Jennifer"/>  |  |
| Middle Name: <input type="text"/>  | * Last Name: <input type="text" value="Nelson"/>   |  |
| Suffix: <input type="text"/>   | Title: <input type="text" value="Director"/>   |  |
| Organizational Affiliation:<br><input type="text"/>  |  |  |
| * Telephone Number: <input type="text" value="REDACTED"/>  | Fax Number: <input type="text"/>   |  |
| * Email: <input type="text" value="REDACTED"/>   |  |  |

**Application for Federal Assistance SF-424**

**\* 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**\* 10. Name of Federal Agency:**

Department of Education

**11. Catalog of Federal Domestic Assistance Number:**

84.282

CFDA Title:

Charter Schools

**\* 12. Funding Opportunity Number:**

ED-GRANTS-032717-002

\* Title:

Office of Innovation and Improvement (OII): Expanding Opportunity through Quality Charter Schools Program (CSP): Grants to State Entities CFDA Number 84.282A

**13. Competition Identification Number:**

84-282A2017-1

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

Add Attachment

Delete Attachment

View Attachment

**\* 15. Descriptive Title of Applicant's Project:**

MDE's CSP project will increase the number of high-quality and sustainable charter schools in order to improve academic achievement for all students, particularly those who are at-risk.

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

**Application for Federal Assistance SF-424**

**16. Congressional Districts Of:**

\* a. Applicant

\* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

**18. Estimated Funding (\$):**

|                     |  |
|---------------------|--|
| * a. Federal        | <input type="text" value="46,190,342.00"/> |
| * b. Applicant      | <input type="text" value="0.00"/>          |
| * c. State          | <input type="text" value="0.00"/>          |
| * d. Local          | <input type="text" value="0.00"/>          |
| * e. Other          | <input type="text" value="0.00"/>          |
| * f. Program Income | <input type="text" value="0.00"/>          |
| * g. TOTAL          | <input type="text" value="46,190,342.00"/> |

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes  No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:  \* First Name:

Middle Name:

\* Last Name:

Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:

**U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS**

OMB Number: 1894-0008  
Expiration Date: 06/30/2017

Name of Institution/Organization

Minnesota Department of Education

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS**

| Budget Categories                 | Project Year 1 (a) | Project Year 2 (b) | Project Year 3 (c) | Project Year 4 (d) | Project Year 5 (e) | Total (f)     |
|-----------------------------------|--------------------|--------------------|--------------------|--------------------|--------------------|---------------|
| 1. Personnel                      |                    |                    |                    |                    |                    |               |
| 2. Fringe Benefits                |                    |                    |                    |                    |                    |               |
| 3. Travel                         | 9,429.00           | 8,456.00           | 8,456.00           | 9,429.00           | 8,456.00           | 44,226.00     |
| 4. Equipment                      | 0.00               | 0.00               | 0.00               | 0.00               | 0.00               | 0.00          |
| 5. Supplies                       | 2,170.00           | 1,070.00           | 1,070.00           | 1,070.00           | 1,070.00           | 6,450.00      |
| 6. Contractual                    | 438,976.00         | 578,976.00         | 858,976.00         | 858,976.00         | 678,976.00         | 3,414,880.00  |
| 7. Construction                   | 0.00               | 0.00               | 0.00               | 0.00               | 0.00               | 0.00          |
| 8. Other                          | 11,606,456.00      | 9,325,234.00       | 7,275,691.00       | 6,676,161.00       | 6,676,646.00       | 41,560,188.00 |
| 9. Total Direct Costs (lines 1-8) |                    |                    |                    |                    |                    |               |
| 10. Indirect Costs*               |                    |                    |                    |                    |                    |               |
| 11. Training Stipends             | 0.00               | 0.00               | 0.00               | 0.00               | 0.00               | 0.00          |
| 12. Total Costs (lines 9-11)      |                    |                    |                    |                    |                    |               |

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?  Yes  No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: 07/01/2016 To: 06/30/2017 (mm/dd/yyyy)

Approving Federal agency:  ED  Other (please specify):

The Indirect Cost Rate is

(3) If this is your first Federal grant, and you do not have an approved indirect cost rate agreement, are not a State, Local government or Indian Tribe, and are not funded under a training rate program or a restricted rate program, do you want to use the de minimis rate of 10% of MTDC?  Yes  No If yes, you must comply with the requirements of 2 CFR § 200.414(f).

(4) If you do not have an approved indirect cost rate agreement, do you want to use the temporary rate of 10% of budgeted salaries and wages?  
 Yes  No If yes, you must submit a proposed indirect cost rate agreement within 90 days after the date your grant is awarded, as required by 34 CFR § 75.560.

(5) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

Is included in your approved Indirect Cost Rate Agreement? Or,  Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is %.

PR/Award # U282A170007

|   |   |  |
|---|---|--|
| Name of Institution/Organization<br>Minnesota Department of Education | Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form. |  |
|---|---|--|

**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

| Budget Categories                    | Project Year 1<br>(a) | Project Year 2<br>(b) | Project Year 3<br>(c) | Project Year 4<br>(d) | Project Year 5<br>(e) | Total<br>(f) |
|--------------------------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|--------------|
| 1. Personnel                         | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00         |
| 2. Fringe Benefits                   | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00         |
| 3. Travel                            | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00         |
| 4. Equipment                         | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00         |
| 5. Supplies                          | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00         |
| 6. Contractual                       | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00         |
| 7. Construction                      | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00         |
| 8. Other                             | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00         |
| 9. Total Direct Costs<br>(lines 1-8) | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00         |
| 10. Indirect Costs                   | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00         |
| 11. Training Stipends                | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00         |
| 12. Total Costs<br>(lines 9-11)      | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00                  | 0.00         |

**SECTION C - BUDGET NARRATIVE (see instructions)**

ED 524

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.



9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

|  |   |
|--|---|
| <p>SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p>Amanda L Sroka</p> | <p>TITLE</p> <p>Grant Writer</p>        |
| <p>APPLICANT ORGANIZATION</p> <p>Minnesota Department of Education</p>   | <p>DATE SUBMITTED</p> <p>05/17/2017</p> |

Standard Form 424B (Rev. 7-97) Back

# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

Approved by OMB

4040-0013

|  |  |  |
|--|--|--|
| <b>1. * Type of Federal Action:</b><br><input type="checkbox"/> a. contract<br><input checked="" type="checkbox"/> b. grant<br><input type="checkbox"/> c. cooperative agreement<br><input type="checkbox"/> d. loan<br><input type="checkbox"/> e. loan guarantee<br><input type="checkbox"/> f. loan insurance | <b>2. * Status of Federal Action:</b><br><input type="checkbox"/> a. bid/offer/application<br><input checked="" type="checkbox"/> b. initial award<br><input type="checkbox"/> c. post-award | <b>3. * Report Type:</b><br><input checked="" type="checkbox"/> a. initial filing<br><input type="checkbox"/> b. material change |
|--|--|--|

**4. Name and Address of Reporting Entity:**

Prime     SubAwardee

\* Name: Minnesota Department of Education

\* Street 1: 1500 Highway 36 West    Street 2: \_\_\_\_\_

\* City: Roseville    State: MN: Minnesota    Zip: 55113

Congressional District, if known: MN-004

**5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:**

|  |  |
|--|--|
| <b>6. * Federal Department/Agency:</b><br>U.S. Department of Education | <b>7. * Federal Program Name/Description:</b><br>Charter Schools |
|  | CFDA Number, if applicable: 84.282                               |

|   |   |
|---|---|
| <b>8. Federal Action Number, if known:</b><br>_____ | <b>9. Award Amount, if known:</b><br>\$ _____ |
|---|---|

**10. a. Name and Address of Lobbying Registrant:**

Prefix \_\_\_\_\_ \* First Name N/A Middle Name \_\_\_\_\_

\* Last Name N/A Suffix \_\_\_\_\_

\* Street 1 \_\_\_\_\_ Street 2 \_\_\_\_\_

\* City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

**b. Individual Performing Services** (including address if different from No. 10a)

Prefix \_\_\_\_\_ \* First Name N/A Middle Name \_\_\_\_\_

\* Last Name N/A Suffix \_\_\_\_\_

\* Street 1 \_\_\_\_\_ Street 2 \_\_\_\_\_

\* City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

**11.** Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\* Signature: Amanda L Sroka

\* Name: Prefix Ms. \* First Name Amanda Middle Name \_\_\_\_\_  
\* Last Name Sroka Suffix \_\_\_\_\_

Title: Grant Writer    Telephone No. \_\_\_\_\_    Date: 05/17/2017

**Federal Use Only:** \_\_\_\_\_ **Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)**

## NOTICE TO ALL APPLICANTS

OMB Number: 1894-0005  
Expiration Date: 04/30/2020

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

### To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may

be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

(4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

### Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0005.

### Optional - You may attach 1 file to this page.

MDE CSP GEPA.pdf

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### **General Education Provisions Act (GEPA) Statement**

The Minnesota Department of Education (MDE) is committed to equal opportunity for all and adheres to GEPA standards. Our mission statement is, “Leading for educational excellence and equity. Every day for every one.” Addressing barriers to equity and inclusion is core to MDE’s work in order to ensure full participation in our programs and services.

To ensure equal access to and participation in this federally-assisted program, the Charter Center will conduct targeted and extensive outreach to inform associated stakeholder groups of the charter school program sub-grant opportunities. This will help grow the number of high-quality charter schools outside the metro area, as well as the number of schools that serve priority populations such as early learners, postsecondary students, and students who are low-income and/or racially diverse.

The State of Minnesota’s hiring policies meet Federal Equal Opportunity guidelines for hiring staff without regard to gender, race, national origin, color, disability, or age. The Grant Manager will follow these guidelines as well as the procedures and requirements of the MDE Human Resources office when contracting with project personnel.

---

## CERTIFICATION REGARDING LOBBYING

### Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

|   |   |
|---|---|
| <b>* APPLICANT'S ORGANIZATION</b><br><input style="width: 90%;" type="text" value="Minnesota Department of Education"/> |   |
| <b>* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE</b>  |   |
| Prefix: <input style="width: 50px;" type="text" value="Ms."/>   | * First Name: <input style="width: 150px;" type="text" value="Amanda"/> Middle Name: <input style="width: 100px;" type="text"/> |
| * Last Name: <input style="width: 200px;" type="text" value="Sroka"/>   | Suffix: <input style="width: 50px;" type="text"/>   |
| * Title: <input style="width: 200px;" type="text" value="Grant Writer"/>  |   |
| * SIGNATURE: <input style="width: 250px;" type="text" value="Amanda L Sroka"/>  | * DATE: <input style="width: 100px;" type="text" value="05/17/2017"/>   |


**U.S. DEPARTMENT OF EDUCATION  
SUPPLEMENTAL INFORMATION  
FOR THE SF-424**

**1. Project Director:**


|                |                         |              |                      |         |
|----------------|-------------------------|--------------|----------------------|---------|
| Prefix:<br>Ms. | First Name:<br>Jennifer | Middle Name: | Last Name:<br>Nelson | Suffix: |
|----------------|-------------------------|--------------|----------------------|---------|

Address:

|           |                      |
|-----------|----------------------|
| Street1:  | 1500 Highway 36 West |
| Street2:  |                      |
| City:     | Roseville            |
| County:   |                      |
| State:    | MN: Minnesota        |
| Zip Code: | 55113-4035           |
| Country:  | USA: UNITED STATES   |

|   |                             |
|---|-----------------------------|
| Phone Number (give area code)   | Fax Number (give area code) |
|  |                             |

Email Address:

|   |
|---|
|  |
|---|

**2. Novice Applicant:**

Are you a novice applicant as defined in the regulations in 34 CFR 75.225 (and included in the definitions page in the attached instructions)?

Yes  No  Not applicable to this program

**3. Human Subjects Research:**

a. Are any research activities involving human subjects planned at any time during the proposed Project Period?

Yes  No


b. Are ALL the research activities proposed designated to be exempt from the regulations?

Yes Provide Exemption(s) #:  1  2  3  4  5  6

No Provide Assurance #, if available:

|  |
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c. If applicable, please attach your "Exempt Research" or "Nonexempt Research" narrative to this form as indicated in the definitions page in the attached instructions.

|  |                |                   |                 |
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|  | Add Attachment | Delete Attachment | View Attachment |
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## Abstract

The abstract narrative must not exceed one page and should use language that will be understood by a range of audiences. For all projects, include the project title (if applicable), goals, expected outcomes and contributions for research, policy, practice, etc. Include population to be served, as appropriate. For research applications, also include the following:

- Theoretical and conceptual background of the study (i.e., prior research that this investigation builds upon and that provides a compelling rationale for this study)
- Research issues, hypotheses and questions being addressed
- Study design including a brief description of the sample including sample size, methods, principals dependent, independent, and control variables, and the approach to data analysis.

[Note: For a non-electronic submission, include the name and address of your organization and the name, phone number and e-mail address of the contact person for this project.]

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## You may now Close the Form

**You have attached 1 file to this page, no more files may be added. To add a different file, you must first delete the existing file.**

\* Attachment:

**United States Department of Education  
Expanding Opportunities through Quality Charter Schools Program (CSP) –  
Grants to State Entities  
Application Abstract  
May 2017**

Charter schools have flourished in Minnesota since passage of the nation’s first charter school law in 1991. Minnesota consistently receives high marks in national rankings of state charter school laws because of the extensive autonomy charter schools enjoy, as evidenced by their freedom to innovate, high degree of control over their own budget and expenditures, and equitable state funding and facility lease aid. The number of charter schools continues to grow steadily and with growth comes educational programs that address the needs of students with the greatest challenges to success in school. The 2016-2017 school year saw a record high of 166 charter LEAs in Minnesota, serving 54,192 students (6.2% of Minnesota’s total K-12 public school enrollment). The educational focus is diverse and includes STEM, arts, project-based learning, language immersion, cultural competency, classical education, environmental, and internship-based schools and more.

The Minnesota Department of Education (MDE), a state entity in a state with a statute (Minnesota Statutes 124E) specifically authorizing the establishment of charter schools and an eligible applicant, received and is managing a 2012 CSP grant. Charter Center staff provide support, resources, and technical assistance that has encouraged and supported growth and quality in the charter sector. The MDE Charter Center team looks forward to continuing its leadership in the charter school community under a new five year CSP project. To meet today’s needs, the CSP project will support the following four ambitious, yet attainable objectives:

- **Objective #1:** Increase the number of high-quality charter schools that serve disadvantaged students and the overall number of students served by charter schools in Minnesota.
- **Objective #2:** Support charter schools in achieving the goals of Minnesota’s World’s Best Workforce legislation.
- **Objective #3:** Increase the quality of Minnesota charter schools through authorizer training and evaluation.
- **Objective #4:** Increase the sustainability of Minnesota charter schools.

These objectives reflect MDE’s interest in growing the number of charter schools and authorizers while also making significant strides in sustainability and increasing quality. They are in response to challenges in the areas of financial management, governance, school safety, and special education that have emerged in the last several years for charter school boards and directors. Minnesota has a vibrant and highly engaged charter school community, many of whom contributed to shaping this project and its objectives. Stakeholders are very supportive of its implementation and the continuation of our collaborative work, growth, and progress in Minnesota. This project also includes all eight competitive preference priorities.



## Project Narrative File(s)

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\* **Mandatory Project Narrative File Filename:**

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**United States Department of Education**

**Expanding Opportunities through Quality Charter Schools Program (CSP) –**

**Grants to State Entities**

**Application Narrative**

**May 2017**

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## **Section A - Competitive Preference Priorities**

### ***Competitive Preference Priority 1: Periodic Review and Evaluation***

Minnesota law requires authorizers to “monitor and evaluate the academic, financial, operational and student performance of the school.” An authorizer’s fundamental role is to hold a charter school accountable for the terms of its performance contract – the “charter.” The primary purpose of charter schools in Minnesota is to improve all pupil learning and all student achievement. (Minn. Stat. § 124E.01, subd. 1) Through effective oversight, authorizers hold charter schools accountable for realizing this purpose. By contrast, the Minnesota Department of Education (MDE) provides training and technical assistance to charter schools and authorizers that promotes compliance with state and federal rules and regulations.

The primary criteria for determining a contract renewal is the success of a school in increasing student achievement and meeting the goals of the charter school agreement (performance contract). (Minn. Stat. § 124E.10, subd. 1 (a)(13-14)) Contract renewals require a formal written performance evaluation and may be renewed for up to five years, if warranted by a school’s academic, financial and operation performance. (Minn. Stat. § 124E.10, subd. 1(a)(11))

If an authorizer terminates or does not renew a contract, the school must be dissolved according to the applicable provisions of Minnesota Statutes § 317A. Minnesota law requires charter contracts to contain a plan for an orderly closing of a charter school. The closure plan must establish who is responsible for notifying the commissioner, the school district in which the charter school is located, and parents of enrolled students about the closure. The closure plan must provide for the transfer of student records to the student’s resident school district, close down financial operations and give parents of enrolled students information and assistance to enable the student to re-enroll in another school.

While charter schools are held accountable by authorizers, authorizers are held accountable by MDE through required five year performance evaluations – the Minnesota Authorizer Performance Evaluation System (MAPES).

***Competitive Preference Priority 2: Charter School Oversight***

To operate in Minnesota, a charter school is required to have a legally-binding contract with a state-approved authorizer. Charter contracts outline the rights and responsibilities of the charter school and the authorizer, and must include “criteria, processes, and procedures the authorizer will use to monitor and evaluate the fiscal, operation, and academic performance” of the charter school. (Minn. Stat. § 124E.10, subd. 1 (a) (7)) Contracts must also address how the charter school will achieve the outcomes adopted by the commissioner for public school students. (Minn. Stat. § 124.10, subd. 1 (c))

The commissioner does not have requirements governing state standards and benchmarks. As such, a school must meet the outcomes contained in the contract with its authorizer. Further, “the achievement levels of the outcomes contained in the contract may exceed the achievement levels of any outcomes adopted by the commissioner for public school students.” (Minn. Stat. § 124E.10, subd. 1(c)).

All charter contracts must specify the conditions for contract renewal and acknowledge that the performance of all students under the primary purpose – improve all pupil learning and all student achievement – is the most important factor in determining whether to renew the contract. (Minn. Stat. § 124E.10, subd. 1 (13)(a)).

Minnesota Statutes § 124E.16, subd. 1 outlines a charter school’s independent audit report requirements. Charter schools are required to submit “an audit report to the commissioner and its authorizer annually by December 31.” In addition, all charter schools receiving a Charter School Program (CSP) sub-grant undergo financial monitoring and reconciliation.

### ***Competitive Preference Priority 3: Authorized Public Chartering Agencies***

Minnesota’s charter school law provides for seven types of authorizers, which reflects the state’s support for diverse charter schools and is coupled with safeguards for authorizer quality and accountability. The following types of organizations may authorize one or more charter schools (the number of authorizers as of July 1, 2017 is listed parenthetically): 1) A school board, intermediate school district school board, or education district (3); 2) A charitable organization under § 501(c)(3) of the Internal Revenue Code of 1986 (4); 3) A MN private college that grants two- or four-year degrees and is registered with the MN Office of Higher Education under chapter 136A (3); 4) A state college or university governed by the Board of Trustees of the Minnesota State Colleges and Universities (0); 5) The University of Minnesota (0); 6) A nonprofit corporation subject to chapter 317A, described in § 317A.905, and exempt from federal income tax under § 501(c)(6) of the Internal Revenue Code of 1986 (0); and 7) A single-purpose authorizer formed as a charitable, nonsectarian organization under section 501(c) (3) of the Internal Revenue Code of 1986 (4). (Minn. Stat § 124E.05, subd. 1) (4).

To become an authorizer, entities must apply to the commissioner using an application process outlined in statute. The opportunity to appeal is provided if “... the commissioner disapproves the application, the commissioner must notify the applicant of the specific deficiencies in writing and the applicant then has 20 business days to address the deficiencies to the commissioner’s satisfaction...” (Minn. Stat. § 124E.05, subd. 3)

### ***Competitive Preference Priority 4: Equitable Financing***

Minnesota charter schools are considered Local Education Agencies (LEAs), and are fiscally independent and operate autonomously of school districts. Under Minnesota Statutes § 124E.20 to 124E.26, charter schools are eligible to receive general education revenue,

referendum revenue, extended time revenue, special education aid, building lease aid, long-term facilities maintenance revenue, startup grants and other revenue school districts receive. They receive direct payment of state and federal aids that flow through MDE.

**General education revenue** is earned on a per pupil basis just as it is for other school districts. Adjustments to the amount are made based on whether the charter school provides transportation or its students use district-provided transportation. Charter schools that provide transportation earn approximately \$277 (about 4.66% of the basic formula) of additional **transportation aid**. **Referendum Revenue** is the aid portion of each enrolling student's referendum revenue based on the student's resident district referendum amount. **Extended Time Revenue** is available to charter schools that operate an extended day, extended week, or summer program at an amount equal to 25% of the statewide average extended time revenue per adjusted pupil unit.

**Special Education Revenue** is distributed to charter schools just as school districts, and charter schools are allowed to bill a special education student's resident district for any eligible unreimbursed special education costs. Except for charter schools that serve 90% special education students, charter schools are required to cover 10% of unfunded special education costs. **Lease Aid** is available to charter schools with building leases. Schools are eligible for building lease aid equal to the lesser of \$1,314 per pupil or 90% of the charter school's lease costs. **Long-Term Facilities Maintenance Revenue** is new for 2017 and provided at an amount equal to \$34 per adjusted pupil. It may be used for any purpose related to the school. The revenue will increase to \$132 per pupil by FY 2019.

In addition, charter schools may receive money from any source for capital facilities needs and are also eligible to receive other state and federal aids, grants, and revenue as do school districts. In 2017, for example, 10 charter schools with officially recognized early

childhood programs were selected to receive **new state funding for voluntary pre-kindergarten.**

#### ***Competitive Preference Priority 5: Charter School Facilities***

Minnesota charter schools are allowed to lease buildings and may apply to receive building lease aid. (Minn. Stat. § 124E.13) In 2016, lease aid totaled more than \$62 million for the state's 166 charter schools. Charter schools may organize affiliated nonprofit building corporations (ABCs) "to purchase, expand, or renovate an existing facility to serve as a school or may construct a new school facility." (Minn. Stat. § 124E.13, subd. 3) By law, only charter schools that have been in operation for six years and otherwise demonstrate sustainability are eligible to form an ABC. Once established a charter school may lease from its affiliated building corporation and use lease aid to pay costs. Today, 40 charter school LEAs comprising 45 school sites, have established ABCs. In addition, charter schools may receive money from any source for capital facility needs and are eligible to receive other aids, grants, and revenue.

#### ***Competitive Preference Priority 6: Best Practices to Improve Struggling Schools and LEAs***

MDE and our statewide partners implement a number of best practices to improve struggling schools and LEAs and widely disseminate best practices. MDE awarded three Charter School Program (CSP) best practice grants as part of its 2012 federal award. Recipients showcased unique local practices in short videos, providing an opportunity for all charters and districts to benefit. Each year charter schools in the state are designated as Blue Ribbon, Reward, and/or Celebration schools alongside their district counterparts. Award winners are widely touted through multiple MDE communication channels, which includes website and blog features throughout the year.

The Minnesota Association of Charter Schools (MACS) offers annual *Innovation Awards* that highlight charter school best practices based on the key components of charter statutes.



Awards are given in the areas of: 1) Increasing learning opportunities for all pupils; 2) Encouraging the use of different innovative teaching methods; 3) Measuring learning outcomes and creating different innovative forms of measuring outcomes; 4) Establishing new forms of accountability for schools; 5) Creating professional development opportunities for teachers.

The competition showcases for all districts the innovative ways that charter schools are serving at-risk and struggling students. Award-winners are recognized by the association at an event, and the news is widely shared across the education community. Looking ahead, MDE anticipates working with MACS under the auspices of a new federal CSP award to identify creative ways to leverage the *Innovation Awards* to help struggling schools.

### ***Competitive Preference Priority 7: Serving At-Risk Students***

Many Minnesota charter schools were created to serve a particular student group or implement a particular type of curricular or pedagogical approach, including drop-out prevention or drop-out recovery. Charter schools serve diverse students and higher percentages of at-risk students than traditional districts: 58% (versus 33%) of charter students are of color, 55% (versus 38%) of students qualify for free/reduced price lunch, and 20% (versus 8%) are English Learners.

The Minnesota Early Indicator and Response System (MEIRS) is a research validated data-driven tool developed by MDE that offers charter schools an opportunity to screen individual students in grades 6 to 9 who are at risk of not completing high school in four years, and to promote student success by helping schools to identify appropriate support and intervention for targeted students.

By law, students at charter schools in traditional districts with a State Approved Alternative Learning Program must be served by that program, often through after-school academic

enrichment programs that promote academic success. Many charter schools also serve as State Approved Alternative Learning Programs and work with students at the greatest risk of drop-out.

The Charter Center expects increased opportunities to work with MDE's divisions of school support, special education and alternative programs to assure needs of at-risk students are met.

***Competitive Preference Priority 8: Best Practices for Charter School Authorizing***

**Minnesota has set the national standard for best practices in charter school authorizing.**

The state collaborated with the National Association of Charter School Authorizers (NACSA) on revising model law and establishing the country's first authorizer review process, which is partially based on NACSA's Principles and Standards. Moreover, Minnesota was the first state to create and implement a comprehensive authorizer application and review system.

MDE's authority to approve charter school authorizers is found in Minnesota Statutes, § 124E.05, subd 3. Eligible organizations apply to the commissioner for "approval as an authorizer before submitting any affidavit to the commissioner to charter a school." The commissioner's approval is based upon a review of an authorizer's: "1) infrastructure and capacity; 2) application criteria and process; 3) contracting process; 4) ongoing oversight and evaluation processes; and 5) renewal criteria and processes."

The authorizer approval process assesses the quality of applications and generates evaluative comments and ratings to inform the commissioner's review and determination. Additionally, formative evaluative data is returned to each applicant after the review as a way to continuously improve authorizing practices. This data aids MDE's efforts to: 1) improve future authorizer review processes; 2) identify specific areas individual authorizers need improvement and oversight; and 3) identify areas of collective need across Minnesota's authorizing field. The attached *New Authorizer Application Instructions for School Districts* and *New Authorizer*

*Application Instructions for Non-School Districts* has additional information regarding Minnesota's authorizer standards, expectations, and requirements.

The Minnesota Authorizer Performance Evaluation System (MAPES) was established in 2014 to review authorizers' performance as required by statute and to identify high-quality authorizer practices that promote authorizer excellence in Minnesota. MAPES aligns with Minnesota Statutes, section 124E.10, subd. 5 which "requires a review of an authorizer's performance every five years in a manner and form determined by the commissioner and may review an authorizer's performance more frequently at the commissioner's own initiative or at the request of a charter school operator, charter school board member, or other interested party. The commissioner, after completing the review, shall transmit a report with findings to the authorizer."

MAPES objectives include: 1) Setting clear expectations between authorizers and MDE regarding authorizing performance; 2) Ensuring authorizer accountability and the fulfillment of the authorizer application; 3) Promoting high-quality charter schools and authorizer excellence; 4) Promoting national principles and standards for quality charter school authorizing; 5) Evaluating authorizer performance through a lens of continuous improvement.

Data gathered through MAPES positions the Charter Center to better understand areas for continuous improvement for authorizers as well as internal processes. It has also fostered specific training, development and technical assistance that supports and strengthens high-quality authorizing practices.

The first round of MAPES was completed in January 2017. Following that, MDE engaged authorizers, charter school leaders, NACSA, SchoolWorks, Inc., and a number of other external stakeholders to look at ways to streamline the process and reduce the document submission

necessary to demonstrate satisfactory performance on rubric measures. Based on feedback, MDE is looking to incorporate school performance as a component of MAPES in the next round.

The charter sector in Minnesota benefits from authorizers that are formally organized through the Minnesota Association of Charter School Authorizers (MACSA). Its membership is comprised of all Minnesota's currently approved authorizers and it serves as an important organization for review, assessment and dissemination of best practices statewide. The Charter Center is fortunate to have a strong working relationship with MACSA that furthers our shared interest in a highly accountable charter sector.

## **Section B - Selection Criteria**

### ***1. Flexibility***

Charter schools, while public, are afforded a maximum degree of flexibility compared to traditional schools; a "... charter school is exempt from all statutes and rules applicable to a school, school board, or school district unless a statute or rule is made specifically applicable to a charter school or is included in this chapter." (Minn. Stat. § 124E.03, subd. 1) Minnesota is one of a handful of states in which charter schools are school districts. From inception, Minnesota's laws have given charter schools the maximum autonomy and flexibility needed to carry out the statutory purposes and ensure that schools are able to operate independently as innovative public school options for families.

Minnesota law grants charters: 1) authority to function as an autonomous and independent school (LEA); 2) fiscal and legal autonomy, subject to regular audit procedures; 3) authority to elect a board of directors with teacher, parent and community member representation; 4) authority of the board to make all decisions related to school operations, including budgeting, curriculum and operating procedures; 5) the right to receive state and federal education funds directly including startup funding, general education funding, lease aid, transportation revenue,

and special education aid; 6) exemption from many state statutes and rules applicable to schools, including those requiring collective bargaining agreements for licensed and non-licensed staff and administrators; and 7) authority to contract for services and to discharge teachers and non-licensed employees.

Charter schools must employ licensed teachers or seek waivers; however, an administrator's license is not required for an individual to perform administrative, supervisory, or instructional leadership duties. This allows charter school boards the flexibility to employ leaders from areas outside of traditional K-12 education. Teachers in school districts who wish to teach in a charter school must be granted a leave of up to five years by the district without being penalized in terms of reinstatement, seniority, or other employment benefits. (Minn. Stat. § 124E.12, subd. 6)

Although employees at a charter school may form a bargaining unit, state law requires that it be separate from any other units within an authorizing district. As a result, charter school boards and directors have substantial flexibility in employing teachers who support the vision and mission of their school. Charter schools also have the flexibility to set salaries, school start and stop times, length of school day, and school year calendars without excessive contractual restrictions. Successful employees may be rewarded through performance-based pay or other alternative compensation models. There are also expanded opportunities for educators to participate in school leadership and management.

Charter schools are operated by a board of directors, which must be elected by parents and staff within their school community and in accordance with their bylaws. While authorizers are responsible for monitoring and holding schools accountable for academic and financial performance, state law establishes that *only* a charter school board is authorized to “operate a school.” Even with increased emphasis on the critical role of an authorizer, MDE has been careful to affirm that the authorizer may not perform functions of the school's board, including

the hiring or dismissal of school employees, developing school budgets, establishing school policies, or approving contracts with vendors.

Minnesota recognizes the critical role of a school's board and the skills of its executive director in a school's long-term sustainability. This proposed CSP grant project will devote considerable efforts to better understanding the core competencies of boards and directors that lead to sustainability. Working with the charter community, higher education partners and the state's Board of School Administrators, the project aims to identify opportunities for the delivery of educational components that support effective leaders and likewise an opportunity to assess the need for credentialing of charter school administrators. Among the possibilities is drawing upon the state's rules related to district superintendent and principal licensure to build a portfolio of coursework that leads to a charter school leader credential.

Minnesota consistently receives high marks in national rankings of state charter school laws because of the extensive autonomy charter schools enjoy, evidenced by their freedom to innovate, high degree of control over their own budget and expenditures, and equitable state funding and facility lease aid. The National Alliance for Public Charter Schools (NAPCS) recently released *Measuring Up to the Model: A Ranking of State Public Charter School Laws*, an annual ranking of state charter school laws that scores each state law based on "the 21 essential components from the NAPCS's model charter school law." Minnesota's charter law was **ranked third best in the nation** in supporting the growth of high-quality charter schools. In addition, the Center for Education Reform's *Education Opportunity Index*, distinguishes Minnesota as being **the most transparent in the nation**.

## ***2. Objectives***

Charter schools have flourished in Minnesota since passage of the nation's first charter school law in 1991. The number of charter schools continues to grow steadily and with growth

comes innovative educational programs that address the needs of students with the greatest challenges to success in school. In 2016-2017, a record number of 166 charter LEAs in Minnesota are serving 54,192 students (6.2% of Minnesota's total K-12 public school enrollment). The educational focus is diverse and includes STEM, arts, project-based learning, language immersion, cultural competency, classical education, environmental and internship-based schools and more.

At the same time, the Charter Center is keenly aware that the strength of the sector in the state relies as much on the *quality* of charter school and authorizer practices as it does on the *quantity* of charter schools. The objectives of our proposed federal CSP project are ambitious and reflect an interest in growing the number of charter schools and authorizers while also making significant strides in sustainability and increasing quality. The objectives are also in response to challenges that have risen in the last several years related to charter school boards and directors in the areas of financial management, governance, school safety, special education, and more.

Minnesota is a state of local control, which means that our efforts to promote quality can't rely on compliance-driven state actions, rather on the collaborative efforts of MDE and stakeholders to identify challenges and forge solutions. While this strategy has proved successful over the long-term, it does entail a significant investment in relationship and trust-building. By fostering meaningful dialog and consensus-building with key stakeholders our efforts will be successful.

The Charter Center's four objectives focus on increasing the number of high-quality and sustainable charter schools and by doing so, the number of students served and improved academic achievement for all students, with particular attention to those who are disadvantaged, underserved and/or at-risk.

- **Objective #1:** Increase the number of high-quality charter schools that serve disadvantaged students and the overall number of students served by charter schools in Minnesota.
- **Objective #2:** Support charter schools in achieving the goals of Minnesota's World's Best Workforce (WBWF) legislation.
- **Objective #3:** Increase the quality of Minnesota charter schools through authorizer training and evaluation.
- **Objective #4:** Increase the sustainability of Minnesota charter schools.

The objectives were developed in consultation with selected charter stakeholders as part of the CSP grant planning process. They also reflect the Charter Center's on-going work with charter school leaders and authorizers.

Stakeholder conversations highlighted several common themes, all aimed at strengthening high-quality charter schools to better address the needs of all students. Themes included: 1) Ensuring high-quality and innovative education options for students, especially those who are disadvantaged and underserved; 2) Improving academic achievement for all students; 3) Working toward closing racial and economic achievement gaps; 4) increasing charter school quality through training, development, evaluation, and the sharing of best practices among authorizers; and 5) Nurturing the sustainability of high-quality charter schools through intensive educational work with charter school leaders and authorizers. Specifically, we have identified an opportunity to develop and pilot a cohort-based credential bearing educational pathway for charter school leaders that draws on the strengths of Minnesota's rules related to principal and superintendent licensure. Minnesota's four objective reflect these priorities. CSP grant project tasks (along with the associated responsibilities, baseline data, timeline, milestones, and



performance measures) will allow for the achievement of the objectives and are laid out in the Quality of the Management Plan and Theory of Action section.

### ***3. Quality of Eligible Sub-grant Applicants***

The Charter Center’s sub-grant applications are designed to elicit the strengths and challenges of applicants based on the applicant’s intent – to start a new school or significantly expand or replicate a high-quality charter school. Separate applications for startup and significant expansion/replication projects ensure that applicants are addressing core components that build a high-quality school. Further, only schools that meet the state’s definition of high quality are eligible to apply for expansion/replication grants. And to increase transparency, the sub-grant selection criteria, scoring matrix and rubric are included in the grant instructions.

Over time, MDE has found that its application questions help applicants to articulate key strategies and allows reviewers to make a clear assessment of the quality of the sub-grant application. Experienced peer reviewers evaluate the quality of applicants based on our finely honed rubric. We are also aware that the new school application template may serve as the basis for authorizers’ new school applications, which lends an additional degree of rigor. With this in mind, we anticipate retaining the overall format, questions, and rubric of the sub-grant applications with additions that address new federal and state priorities. All applicants (startup and expansion/replication) are asked to detail the proposed:

- **Educational Program:** Complete, coherent educational program that describes clear plans to improve student academic achievement, including compelling research and data that indicates that the education program is effective for the students targeted by the school and how the program supports academic standards.
- **Accountability Goals:** Measureable academic achievement goals focused on improved student achievement and expectations of a high-quality charter school.

- **State Education Priorities:** Applicants must address one or more state education priorities, including the World’s Best Workforce. The World’s Best Workforce (WBWF) legislation requires all districts and charter schools to develop rigorous goals focused on five key areas: all children are ready for school, all third-graders can read at grade level, all racial and economic achievement gaps between students are closed, all students are ready for college and career and all students graduate from high school. WBWF plans identify areas for growth and attention. Annual results are reported to MDE and published on charter school websites.
- **Governance and Management:** Application demonstrates that school founders/board have the capacity and experience to develop, plan, and implement a high-performing charter school and ensure effective and accountable governance of the school’s operations.
- **Parent and Community Engagement:** Clear vision and effective strategies for meaningful parent and community engagement and support throughout the planning and implementation phases of the school is reflected in the application.
- **Marketing and Outreach:** Outreach and recruitment plan demonstrates a deep understanding of the community and includes reaching out to families traditionally less informed about education options. Enrollment projections are realistic and supported by evidence of demand.

Significant expansion or replication applicants must also complete an ‘existing school’ background section and the application review includes an assessment of the existing school’s organizational and financial stability and capacity to effectively achieve the proposed growth. Applicants are asked: 1) how the existing school demonstrates overall success in substantially improving student academic achievement in multiple areas; 2) the school’s current management

and staffing structure; 3) persuasive evidence to support that the school is thriving and financially viable; 4) any significant compliance issues within the past three years, including any audit findings; and 5) how parent and staff satisfaction is measured and evidence of high levels of parent and staff satisfaction.

The startup and significant expansion/replication application templates will be revised to integrate questions related to high-quality early learning programs and postsecondary students in charter schools, and new state priorities and accountability goals related the World's Best Workforce and to the state's emerging Every Student Succeeds Act (ESSA) plan. As a strategy to increase the number of schools that serve early learners, postsecondary students and/or enroll a high percentage of low-income, rural, or racially diverse students, MDE will introduce priority points in sub-grant applications. Applicants that address these priorities will receive additional points that will increase the likelihood of funding.

With an eye toward a more robust charter sector in the state, a key new objective of the proposed CSP project is to increase charter school sustainability. The charter team will update the CSP sub-grant budget template to include a more narrow range of allowable expenses during a three year grant award. This will ensure schools are using CSP funds to build capacity and initial infrastructure rather than to pay for costs that will later need to be absorbed by the school's operating budget.

Sub-grant applicants will be asked to demonstrate effective financial management practices and policies and to provide a detailed financial sustainability plan for the charter school following the completion of the three year CSP grant project. Sub-grantees within the city of Minneapolis will have the opportunity to apply to Great MN Schools (GMS) for bridge funding and strategic support. Of note, GMS only funds charter schools that have a financial model that leads to sustainability and the organization is diligent in working with its grantees to build out

financial models. Our shared intent with GMS is to identify new and high quality expansion/replication schools with viable financial strategies that will result in greater charter sector stability over Minnesota's five-year CSP award.

MDE recruits CSP sub-grant peer reviewers from the charter community – representatives of authorizers, charter schools, prior sub-grantees, support organizations and professional associations. Peer reviewers are trained on conflict of interest, unconscious bias, application components, scoring criteria and rubric, and application instructions. Each award criterion, application component, and the proposal as a whole receives a numeric score and a qualitative rating of Inadequate, Fair, Satisfactory, Good, or Excellent. High scoring applications with corresponding Satisfactory, Good or Excellent qualitative ratings are considered for funding. A pre-award risk assessment provides financial information that addresses the capacity of the grantee to successfully execute a three year award.

Since 2012, MDE has received 105 applications, of which 56 were awarded grants of up to three years. The results of the sub-grant competitions reflect MDE's commitment to fund high-quality applicants that demonstrate sufficient intent, capacity and plans. Several grantees were successful in second or third applications, in part by integrating feedback received from unsuccessful applications.

#### ***4. State Plan***

##### ***a. Adequately monitor sub-grantees***

MDE monitors and provides training and technical assistance throughout the three year sub-grant award to assure that grant funds are used to achieve project goals and that administration follows state and federal rules and regulations. Starting in the application phase, training, technical assistance and a pre-award risk assessment set expectations for grantees related to monitoring. Staff conduct fiscal and program monitoring aligned with state and federal

requirements. Monitoring protocols are also aligned with sub-grant project periods (planning or implementation) and sub-grant type (startup or expansion/replication). For example, because startup schools typically lack a financial history at the beginning of a grant, MDE will conduct a mid-award risk assessment when grantees move from the planning to implementation period to identify any concerns with grant administration.

In addition to on-going technical assistance, MDE offers a number of webinars and in-person training sessions to inform and educate grantees. All sub-grantees are required to attend an initial web-based orientation to managing a grant award early in the planning grant. They are also required to submit invoices with the first request for reimbursement so that MDE has an opportunity to quickly catch any concerns related to procurement or financial management. Charter school directors and grant managers are supported in attending an in-person CSP sub-grantee orientation at the annual Charter School Training. This has proven to be a successful way of setting expectations and establishing good working relationships from the start.

During the first implementation phase of a sub-grant, MDE conducts an on-site program monitoring visit to ensure that: 1) Activities are in line with the sub-grantees' application and 2) policies and practices are in compliance with federal and state statutes and regulations. In addition to program monitoring, MDE conducts fiscal monitoring at least once before final payment is made on all grants over \$50,000 and at least annual monitoring on grants over \$250,000. (Minn. Stat. § 16B.97) The proposed CSP budget includes staff positions to ensure adequate support and expertise for CSP sub-grantee monitoring and technical assistance.

***b. Avoid duplication of work for charter schools and authorized public chartering agencies***

MDE works collaboratively with authorizers and charter school leaders to ensure transparency, open communication and to reduce duplication of work. Agency-wide, MDE's

Survey Team has completed a cross-walk of all district and charter school reporting that has helped to highlight additional areas for reducing the burden of reporting. Work in this area is ongoing and an agency priority as MDE seeks to collect required information while not placing undue demands on local staff that are already stretched thin.

To avoid duplication for charter schools, Minnesota Statutes § 124E.16, subd. 2, allows the required charter school annual report to be combined with the required annual WBWF report. Moving forward with the new ESSA Plan, MDE intends to align federal goals with the state's World's Best Workforce goals to further reduce duplication in accountability and reporting.

Minnesota Statutes § 124E.05, subd. 5 (c), requires the commissioner's review of an authorizer's performance to "use existing department data on the authorizer to minimize duplicate reporting to the extent practicable." Per Minnesota Statutes, § 124E.16, subd. 2(b), "An authorizer must submit an annual public report in a manner specified by the commissioner by January 15 for the previous school year ending June 30 that shall at least include key indicators of school academic, operational and financial performance. The report is part of the system to evaluate authorizer performance under Minnesota Statutes § 124E.05, subd. 5."

The Authorizer Annual Report currently requires authorizers to input school assessment data provided by MDE and found on MDE's public reporting system, Minnesota Report Card. In an effort to streamline the process, reduce duplication, address statutory requirements and better align the reporting requirements to address measures in MAPES, MDE plans to engage authorizers in a continuous improvement review of the Authorizer Annual Report to significantly reduce or eliminate duplication.

The Charter Team attends monthly MACSA meetings and regularly provides technical assistance and trainings to charter schools and authorizers. Close communication ensures that decision-making across MDE's divisions is always informed by the potential impact on charter

schools and authorizers, particularly as it relates to duplication of effort. Further, charter staff review all state statutes and rules annually to identify technical changes that will reduce duplication.

*c. Provide technical assistance and support for:*

*i. Sub-grantees*

MDE's highly qualified staff provides technical assistance and support to sub-grantees in a variety of areas and in multiple ways. Looking ahead to a new CSP award, new topics for technical assistance will align with this proposal's objectives and include training on using data to develop goals for the World's Best Workforce and completing WBWF annual reports.

The Federal Charter School Grant Manager spends approximately 50% of his time providing both day-to-day technical assistance and scheduled training to sub-grantees. Topics include expenditure report reimbursement submissions, the sub-grant competition, budget modifications, program and fiscal monitoring, sub-contract requirements, best practices in charter school management, grant reporting, continuous improvement, payment processes, etc.

The Data Analysts provide ongoing, day-to-day data technical assistance as well as training on performance metrics and annual reporting for the CSP project and sub-grantees. Teaming with the CSP Grant Manager, assistance on using data to establish and revise annual WBWF accountability goals and plans for charter schools and authorizers will be developed to meet this proposal's objectives.

Formalized technical assistance to sub-grantees includes: at least one site visit; quarterly technical assistance workshops for sub-grantees and/or eligible applicants on the sub-grant process and related topics; and the annual Charter School Training. The annual Charter School training is held at MDE and mileage reimbursement is provided for charter school staff coming from greater Minnesota to ensure their active participation.

New to the proposed project is a monthly web-based Boot Camp –trainings/meeting for sub-grantees on a timely and relevant topics. We anticipate developing a cohort-based model that will allow participants to learn from one another in addition to MDE staff. Using a holistic wrap-around support philosophy, monthly topics will be drawn from common themes staff encounter, participant need and involve Grant Services staff as well as staff from other MDE divisions that work with charter schools.

Technical assistance will be provided over the phone, by email, in-person at school/greater Minnesota sites, and via e-learning. The variety of methods ensure frequent communication and guidance and equitably serves sub-grantees. Web-based training that has enduring value will be recorded, closed captioned, and posted on MDE’s website to ensure full accessibility. A pilot project in the new CSP award will leverage the capacity of Captivate software to create self-paced tutorials on hot topics that can be posted on MDE’s website and available on demand.

*ii. Quality authorizing efforts in the State*

MDE provides technical assistance that supports quality authorizing and strengthens authorizers. We anticipate a heightened focus on supporting quality authorizing efforts during a new CSP award, using approximately 7% of the grant award on technical assistance. This focus is a natural ‘next step’ for Minnesota, given the successful implementation of MAPES and the opportunity to work with authorizers through corrective action and in developing new five year Approved Authorizer Plans (AAP). A Charter Center Specialist works with the authorizer community on all statutory requirements and contracts related to authorizing. A Compliance Liaison works with the Specialist to provide timely feedback on how well contracts and authorizer/school policies are aligned with state statute. Both make recommendations for continuous improvement to authorizers.



Formal technical assistance includes a full day annual Authorizer Training hosted by MDE. The topic for the annual conference is determined in collaboration with authorizers and typically features topics related to low-scoring areas from MAPES. We also know that performance frameworks and the use of data are perennial needs, as will be topics related to ESSA. New to this award, each authorizer will receive an annual training stipend of up to \$1,500 for each authorizer to support attendance at non-MDE training and professional development opportunities, especially those that build capacity in the areas of fiscal oversight and auditing. Later in the five year award, feedback from the MAPES independent external consultant will shape the professional development and technical assistance that MDE provides to authorizers.

#### ***5. Parent and Community Involvement***

Minnesota values parent, community and school engagement in education. Over the last year, MDE held over 300 stakeholder sessions related to ESSA planning and the commissioner communicated directly with families to solicit ideas and input. Sessions for families speaking a language other than English were held and evening sessions allowed wide participation.

An agency-wide Family Engagement Committee serves as a conduit for training and support. In addition, MDE maintains a Family Engagement website which features information and best practices that can assist charter schools with adopting a family engagement focus. Web-based training modules, including an orientation, are freely available on the MDE website.

Specific to charter schools, Minnesota Statutes § 124E.07, subd. 3 requires the charter school's board of directors to include, "at least one parent or legal guardian of a student enrolled in the charter school who is not an employee of the charter school, and at least one interested community member who resides in Minnesota, is not employed by the charter school, and does not have a child enrolled in the school."

Family and community engagement is required in the development of a charter school LEA's required WBWF plan: "Each board must establish a district advisory committee to ensure active community participation in all phases of planning and improving the instruction and curriculum affecting state and district academic standards...A district advisory committee, to the extent possible, shall reflect the diversity of the district and its school sites, include teachers, parents, support staff, students and other community residents..." (Minn. Stat. § 120B.11, subd. 3).

Bringing MDE's focus on family and community engagement to the CSP sub-grant process, applicants are asked to describe a clear vision and effective strategy for meaningful parent and community engagement that will further the school's mission. Successful applicants demonstrate that parent and community engagement begins in the design of the school (or replication/expansion) and continues in substantive ways throughout the planning and implementation phases of the new school or expansion/replication.

## ***6. Quality of the Project Design***

### ***a. Sub-grant application and peer review process, timelines, and sub-grants awarded to eligible applicants with the capacity to create high-quality charter schools***

MDE anticipates conducting three sub-grant competitions each year – two startup and one significant expansion/replication. Application periods will be tied to statutory deadlines for new school and significant expansion/replication affidavits. The timeline from announcing the competition and publishing application documents to the awarding of grants is approximately twelve weeks. Fall and spring application periods for the startup of new charter schools will allow potential applicants multiple opportunities to apply. This is critical to new charter schools since about half of first-time applicants are unsuccessful. The spring application period will include significant expansion/replications applications and leverage the timing of the release of the data-driven high-quality charter school list and the statutory site expansion affidavit deadline.

Eligibility criteria are driven by the type of application – start up or expansion/replication. Startup applicants must be: 1) Not currently funded under Minnesota’s Federal CSP Grant Project; and 2) Governed by a school board that includes at least one individual currently licensed to teach in the state of Minnesota; and 3) Meet the provision of Minnesota statutes on the formation of a charter school and have a commissioner-approved new charter school affidavit; OR 4) Operate a new charter school in its first two years of operation. Eligibility criteria for significant expansion/replication applicants includes: 1) Designation as a High-Quality Charter School (for methodology see section b. ii); and 2) Current enrollment of 50 students; and intent to 3) Expand or replicate by at least 50% of the current enrollment; and 4) Meet the federal definition of expansion or replication.

Grant applications must be submitted on time and carefully selected independent peer reviewers score all applications. Reviewers are recruited from Minnesota’s charter school and broader education communities. Interested reviewers apply by describing their knowledge, expertise, and experience with charter schools as well as their background with grant or other application review processes. Reviewers are assigned to either startup or significant expansion/replication applications.

Once reviewers are selected, the Charter Team partners with MDE’s Grant Services to provide peer reviewer training, which includes conflict of interest, unconscious bias, scoring rubric, application components and instructions. Individual, independent reviews take place over approximately two weeks. Following the independent review, reviewers participate in an in-person panel session to finalize scores and comments. MDE has found that including an opportunity for reviewers to meet face to face helps to reduce individual bias and strengthen feedback. Each application component, section, and the proposal as a whole receives a numeric score and a qualitative rating of Inadequate, Fair, Satisfactory, Good, or Excellent.

Results of the independent and panel reviews (including consensus ratings, scores and comments) and funding recommendations are presented by the charter team to MDE leadership. High scoring applications with corresponding Satisfactory, Good or Excellent qualitative ratings are considered for funding. This takes approximately two weeks, with recommendations presented for final decision approximately four weeks after receipt of sub-grant applications.

Once successful applicants are notified, final budgets are negotiated. A pre-award risk assessment provides further information that addresses the capacity of the grantee to successfully execute a three year award and identifies the need for any special requirements for the individual grantee. Sub-grant agreements and final budgets are completed over a two-to-three week period. Because applicants sign assurances as part of the application process, grant agreements only require MDE signatures to be fully executed.

***b. Reasonable year-by-year estimate, with supporting evidence, of:***

***i. Number of sub-grants expected to be awarded during the project period, their average size, and assumptions upon which estimates are based***

MDE expects to award 10-12 sub-grants annually, for a total of 55 new awards during the five-year grant period. This annual estimate is based on: 1) the number of brand new schools that have been approved by MDE that have not yet received a startup CSP grant; 2) stated interest from the field in replicating a school under a single charter; 3) recent projections from approved authorizers regarding the number of new charter schools and significant expansions/replications they expect to authorize over the next five years; 4) the number of successful applications awarded during each grant completion in its 2012 award; 5) the potential for four new approved authorizers. Pending approval of a federal waiver, MDE will also carry forward 28 current grantees (none to exceed a total of 36 months) to allow completion of projects funded under the 2012 SEA award. We are also mindful of concerns related to the oversaturation of charter

schools in certain areas of the state. The average size of sub-grant awards will be \$600,000, and range from \$550,000 to \$650,000. In consultation with stakeholders, MDE has determined that all planning sub-grants will be awarded for \$200,000 and for a time period not to exceed 18 months. The fixed amount acknowledges that planning period expenses are typically not dependent on enrollment figures.

Implementation awards will be split into two periods, Implementation 1 and Implementation 2 and the amount of the awards will be based on school enrollment. The continuation of sub-grants through each period is contingent on successful completion of the prior period. As noted earlier, startup schools will also undergo a mid-award risk assessment to ensure that financial policies and practices are in place. Implementation period award amounts are finalized when actual enrollment numbers are available.

| <b>Enrollment</b>         | <b>CSP Amounts for Implementation Periods 1 &amp; 2</b> |
|---------------------------|---|
| Fewer than 100 students   | \$175,000   |
| Between 100-200 students  | \$200,000   |
| Greater than 200 students | \$225,000   |

*ii. Percentage of eligible applicants awarded sub-grants and how this related to the overall quality of the applicant pool during previous CSP grant*

Under its 2012 award, MDE received 105 applications, of which 53 percent were funded. A recent analysis of student level data found that students of color, students eligible for free and reduced price lunch and English Learners attending CSP grantee schools tend to do better than students in district schools on standardized reading, math and science tests. It also found that approximately 28 percent of enrolled charter students are at schools that received a CSP grant.

MDE established a definition for high-quality charter school to effectively and fairly measure the performance of the state’s charter schools during its 2012 CSP award. Approximately 15

charter stakeholders – school leaders, authorizers, and the Minnesota Association of Charter Schools –met over a six month period to create a high-quality charter school (HQCS) definition that includes academic, operational, and financial performance components.

All operational charter LEAs are included in the analysis; however, only those that have been in operation for three or more years are eligible to be identified as high-quality. Charter LEAs can be eligible via differentiated academic data runs: 1) All charter LEAs compared to all schools in the state; 2) Charter LEAs with high special population groups compared to all schools with similar demographics; and 3) Charter LEAs with low special population groups compared to all schools with similar demographics. Twelve academic measures are calculated using a z-score: proficiency rates in math, reading and science; focused proficiency in math, reading and science; growth in math and reading; focused growth in math and reading; graduation rate; and focused graduation rates.

Charter LEAs that meet eligibility through academics move on to financial and compliance checks. All charter LEAs that received a z-score greater than or equal to zero in all, or all but one, applicable academic measures and were not eliminated during financial or compliance checks are identified as high-quality. LEAs that received a z-score greater than or equal to zero in all but two applicable academic measures and not eliminated during financial or compliance checks are eligible to submit supplemental data to appeal. Appeals are reviewed by an external review panel and typically not successful.

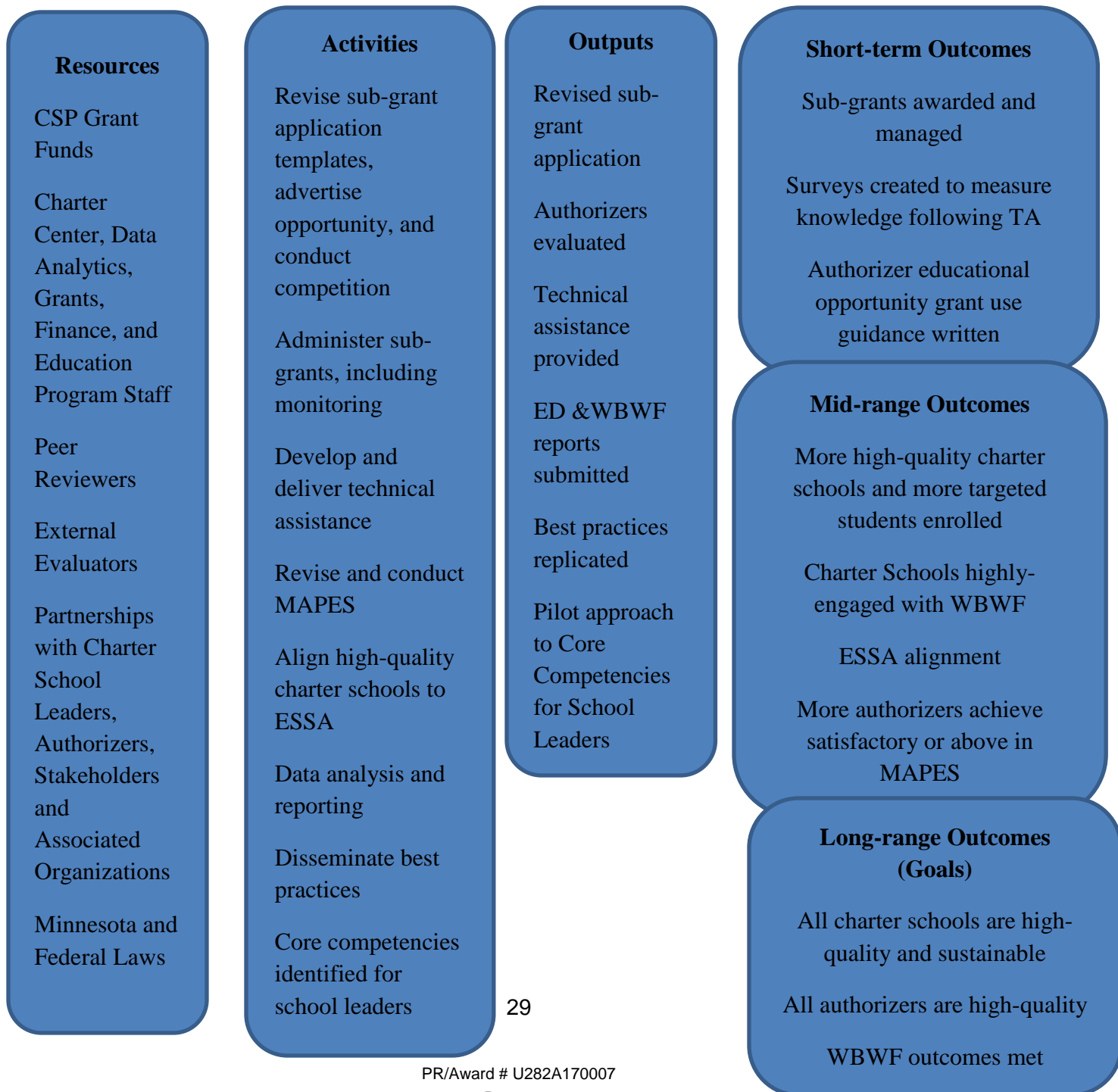
### ***7. Quality of the Management Plan and Theory of Action***

The logic model is based on several assumptions. During the five year award, MDE does not anticipate any significant changes to charter school and authorizer operations, accountability, authority, and responsibility statutes. Charter school accountability measures may change with

the adoption of a federally-approved ESSA plan anticipated in fall 2017 and the project can adapt to that. In addition, there may be up to 18 approved authorizers, an increase of four.

The logic model lays out a set of cohesive actions, outputs and outcomes that have been successful in achieving the overarching goal of supporting expanded school choice through charter schools.

*a. Logic Model*



*b. Project-specific performance measures support the logic model*

The following project-specific performance measures align to MDE's CSP logic model:

**Objective #1: Increase the number of high-quality charter schools that serve disadvantaged students and the overall number of students served by charter schools in Minnesota.**

- Number of startup, replication, and expansion sub-grants awarded
- Number of applications received by and sub-grants awarded to schools serving priority populations (low-income, rural, early learning, postsecondary, and/or racially diverse)
- Number of technical assistance sessions held

**Objective #2: Support charter schools in achieving the goals of Minnesota's World's Best Workforce (WBWF).**

- Number of technical assistance sessions held
- Number of charter schools that submit WBWF plans
- Increase in sub-grantee ability to use data to write SMART WBWF goals following technical assistance sessions

**Objective #3: Increase the quality of Minnesota charter schools through authorizer training and evaluation.**

- Number of authorizers that attend grant-funded educational opportunities
- Number of authorizers that report increased knowledge and capacity following MDE provided technical assistance and training
- Determination on inclusion of school performance in MAPES
- All authorizers participate in revised MAPES
- Increased number of authorizers achieving an overall satisfactory or above rating in MAPES



- Authorizer Ready to Open Standards are revised to increase school sustainability

**Objective #4: Increase the sustainability of Minnesota charter schools.**

- Number of CSP grant school leaders (executive directors, board members) that participate in training or technical assistance related to sustainability
- Number of charter school leaders that report increased knowledge and capacity following MDE provided technical assistance and training
- Number of CSP-funded Minneapolis charter schools that receive bridge funding from Great MN Schools
- Stakeholders convene to determine core competencies for charter school leaders
- Develop and pilot a cohort-based approach to providing education in core competencies to charter school leaders

Formative and summative assessment during the five year grant will assure fidelity in the CSP program’s implementation and measure its overall success. Formative evaluation will be led by MDE’s data analytics staff; an open and competitive request for proposal will be used to contract with a qualified independent external evaluator to carry out summative evaluation in years two through five. The evaluation will generate both quantitative and qualitative data to demonstrate the extent to which outcomes are achieved for the proposed objectives. Milestones are presented for each objective in the chart in the next section.

*c. The adequacy of the management plan to:*

- i. Achieve objectives on time and within budget, including clearly defined responsibilities, times, and milestones for accomplishing project tasks*

| Tasks<br>Including Baselines, Milestones, and Outcomes | Budget Line | Completed By | Completed<br>When |
|--|-------------|--------------|-------------------|
|--|-------------|--------------|-------------------|

**Objective 1: Increase the number of high-quality charter schools that serve disadvantaged students and the overall number of students served by charter schools in Minnesota.**

|  |   |   |  |
|--|---|---|--|
| <p>Revise startup and significant expansion/replication sub-grant narrative and budget templates to include priority points to charter schools with approved early learning programs, and/or that serve a high percentage of postsecondary and/or low-income, rural, or racially diverse students. Identify strategies to reach early learning, post-secondary, rural, low-income, and diverse stakeholder groups.</p> | <p>Personnel and Fringe</p>               | <p>Grant Manager</p>                              | <p>First quarter of grant award and on-going</p> |
| <p>Identify and publicize high-quality charter school list</p>   | <p>Personnel and Fringe</p>               | <p>Grant Manager and Data Analytics</p>           | <p>Fall</p>                                      |
| <p>Advertise CSP startup and significant expansion/replication, sub-grant opportunities in newsletters, meetings and targeted emails to eligible applicants and their authorizers</p>  | <p>Personnel and Fringe</p>               | <p>Grant Manager</p>                              | <p>Fall and Spring</p>                           |
| <p>Provide technical assistance to sub-grantees via webinars.</p>  | <p>Personnel, Fringe, and Contractual</p> | <p>Grant Manager</p>                              | <p>Quarterly</p>                                 |
| <p>Select sub-grant reviewers from the charter community including top performing authorizers, charter school leaders, and support organization leaders.</p>   | <p>Personnel and Fringe</p>               | <p>Grant Manager, Grant Specialist Supervisor</p> | <p>Fall and Spring</p>                           |

|  |  |  |                 |
|--|--|--|-----------------|
| Train selected reviewers on conflict of interest, unconscious bias, scoring rubric, application instructions.  | Personnel and Fringe                     | Grant Manager, Grant Specialist Supervisor                 | Fall and Spring |
| Complete the review process.   | Personnel, Fringe, Contractual           | Grant Manager, Grant Specialist Sup., Contracted Reviewers | Fall and Spring |
| Award sub-grants to applicants who demonstrate evidence of starting and sustaining a new or expanding/replicating a high-quality charter school.   | Personnel, Fringe, Contractual           | Grant Manager, Grant Specialist Sup. and Coord.            | Fall and Spring |
| Hold a two day annual Charter School Training at MDE that is open to all schools and recommended for CSP sub-grantees. Travel costs are covered for greater Minnesota attendees.   | Personnel, Fringe, Contractual, Supplies | Grant Manager and Charter Center staff                     | Summer          |
| Monitor each sub-grantee's performance, with one in-person site visit each grant period and continual monitoring through the reimbursement process.  | Personnel, Fringe, Travel                | Grant Manager  | Ongoing         |
| <p><b>*Baseline, Milestones, and Outcomes:</b></p> <p><b>Baseline (2016-17):</b> 7 sub-grants awarded; 54,192 students enrolled in charter schools; 31,740 children of color; 29,661 students eligible for free or reduced price lunch, 11,067 English Learners; not available, number of sub-grants awarded that serve priority student groups; 3 technical assistance sessions held.</p> |  |  |                 |

**Milestones:** 10-12 sub-grants awarded annually; growth in student enrollment at charter schools 1.5% (year 1) 2.0% (year 2), 2.5% (year 3), 3% (year 4 and 5); priority points are applied in applications; nine technical assistance sessions held by year two.

**Outcomes:** 55 sub-grants awarded, 50% serve priority student groups, cumulative enrollment growth is 10%; 45 technical assistance sessions by end of grant period.

**Objective #2: Support charter schools in achieving the goals of Minnesota’s WBWF legislation.**

|  |                                   |                                 |          |
|--|-----------------------------------|---------------------------------|----------|
| Provide information on WBWF and its requirements at the annual Charter School Training.  | Personnel,<br>Fringe,<br>Supplies | Grant Manager<br>and MDE staff  | Annually |
| Provide technical assistance to school leaders and authorizers on using data to establish and revise annual WBWF accountability goals and plans.                       | Personnel and<br>Fringe           | Data Analysts                   | Ongoing  |
| Provide technical assistance to school leaders on completing annual WBWF reports.  | Personnel and<br>Fringe           | Charter Center<br>and MDE Staff | Annually |
| Connect charter schools with early learning, college & career, and other innovative resources at MDE in order to share best practices to increase student performance. | Personnel and<br>Fringe           | Charter Center<br>Staff         | Ongoing  |

**\*Baseline, Milestones, and Outcomes:**

**Baseline (2016/17):** 0 WBWF technical assistance sessions and attendance; 87% of required charter schools submitted WBWF summary

**Milestones:** Two technical assistance/training sessions held by end of year two; 90% of required charter schools submit WBWF summary by end of year two; 85% of CSP sub-grantees attend technical assistance sessions; 75% report increased ability to write SMART goals by end of year three.

**Outcomes:** Eight WBWF technical assistance sessions held by end of year five; 98% of required charter schools submit WBWF summary; 85% of attendees report increased ability to write SMART goals.

**Objective #3: Increase the quality of Minnesota charter schools through authorizer training and evaluation.**

|   |                                       |   |          |
|---|---------------------------------------|---|----------|
| Provide funding for authorizers to attend training or educational opportunities, particularly those that improve capacity for fiscal oversight and auditing, as approved by MDE Charter Center staff. | Salary,<br>Fringe, and<br>Contractual | Grant Manager,<br>Grant Specialist<br>Coord. And<br>Charter Center<br>staff | Annually |
| Provide opportunities for authorizers and MDE to share best practices at annual Authorizer Training and monthly MACSA meetings.   | Supplies and<br>Travel                | Charter Center<br>staff   | Monthly  |
| Work with authorizers, charter school leaders, and other stakeholders to revise MAPES based on continuous improvement feedback and determine if school performance is included.                       | Salary,<br>Fringe,<br>Supplies        | Charter Center<br>Staff   | Year 1   |
| Review authorizer performance as required by state statute using MAPES.   | Contractual                           | Contracted<br>Evaluator and<br>Charter Center<br>staff                      | Year 3   |
| Establish additional internal and external partnerships that will increase CSP staff's ability to provide timely and compelling technical assistance and training.                                    | Salary and<br>Fringe                  | Grant Manager<br>and Charter<br>Center staff                                | Ongoing  |

|   |  |   |                   |
|---|--|---|-------------------|
| Ready to Open Standards key components are articulated and shared.  | Salary and Fringe                      | Charter Center Staff                        | Year 2            |
| Identify, disseminate, and promote high-quality authorizing practices to increase authorizer excellence in Minnesota.   | Salary and Fringe                      | Grant Manager and Charter Center staff      | Ongoing           |
| <p><b>*Baseline, Milestones, and Outcomes:</b></p> <p><b>Baseline:</b> 100% of authorizers are evaluated; 40% of authorizers are rated Satisfactory or above; 96% of participants report increased knowledge following technical assistance/training; 100% of authorizers attend annual conference.</p> <p><b>Milestones:</b> MAPES revised, decision on school performance made; MAPES starts in December 2019; 100% of authorizers attend annual conference; 96% report increased knowledge following technical assistance/training.</p> <p><b>Outcomes:</b> All authorizer evaluations are completed at end of five years; 70% of authorizers are rated satisfactory or above; 90% of participants report increased knowledge following technical assistance/training; 100% of authorizers review Ready to Open Standards.</p> |  |   |                   |
| <b>Objective #4: Increase the sustainability of Minnesota charter schools.</b>  |  |   |                   |
| Determine topics to include in self-paced tutorials created in Captivate software and shared on MDE’s website in consultation with stakeholders.  | Personnel, Fringe, Contractual         | Grant Manager                               | End of First Year |
| Provide Boot Camp to sub-grantees with best practices, updates, and compliance information that will improve their capacity to administer and maintain charter schools and provide opportunities for charter school leaders and MDE to share best practices.  | Personnel, Fringe, Contractual, Travel | Grant Manager, Charter Center and MDE staff | Monthly           |

|  |                   |  |           |
|--|-------------------|--|-----------|
| Establish additional internal and external partnerships that will increase CSP staff's ability to provide relevant and compelling technical assistance and training.   | Salary and Fringe | Grant Manager and Charter Center staff | Ongoing   |
| Refer successful CSP grantees eligible for post-award bridge funding to Great Minnesota Schools, as eligible based on location.  | Salary and Fringe | Grant Manager                          | Year 3    |
| Convene stakeholder taskforce to identify core competencies for charter school leaders and administrators.   | Salary and Fringe | Charter Center Staff; partners         | Year 1 -2 |
| Develop and pilot approach to core competency education/credentialing; publish handbook.   | Salary and Fringe | Charter Center Staff; partners         | Year 3- 5 |
| <p><b>*Baseline, Milestones, and Outcomes:</b></p> <p><b>Baseline:</b> not available – number of training/technical assistance sessions and participants, number of schools that receive bridge funding, identification of core competencies; increase in knowledge following training/technical assistance.</p> <p><b>Milestones:</b> 85% of charter schools attend technical assistance training by year two; core competencies identified by end of year three; approach to core competency education piloted in years three to five; 50% of Minneapolis-based sub-grantees receive GMS award by end of year three.</p> <p><b>Outcomes:</b> 85% of participants report increased knowledge after participating in core competencies; 75% of Minneapolis-based sub-grantees receive GMS award; new model for core competency education established and credential program handbook published</p> |                   |  |           |
| <b>CSP Project</b>   |                   |  |           |

|   |                          |   |                                  |
|---|--------------------------|---|----------------------------------|
| <p>Track and report on Grant Program Performance Measures (GPRA): 1) Number of charter schools in operation; 2) Percentage of fourth-and-eight grade charter school students who are achieving above the proficient level on Minnesota examinations in mathematics and reading/language arts; 3) Federal cost per student in implementing a successful school.</p>  | <p>Salary and Fringe</p> | <p>Grant Manager and Data Analysts</p>                              | <p>Annually</p>                  |
| <p>Evaluate the CSP project and make appropriate revisions based on data and findings.</p>  | <p>Contractual</p>       | <p>Grant Manager and Contracted Evaluator</p>                       | <p>Ongoing</p>                   |
| <p>Report on CSP project progress and spending.</p>   | <p>Salary and Fringe</p> | <p>Grant Manager, Data Analysts, and Federal Program Accountant</p> | <p>Annually and as Requested</p> |
| <p><b>Baseline (2016):</b> 166 charter schools in operation; 55.6% of fourth- and 48.2% of eighth-grade charter school students are proficient in Math exams and 44.9% of fourth- and 52.8% of eighth-grade charter school students are proficient in reading exams; MDE determined that schools on the high-quality charter schools list are successful, having been in operation for at least three years. The federal cost per student for 2016 was \$468 based on federal revenues excluding food programs and community service. The calculation includes general fund dollars received through MDE or other local agencies of government and direct federal aids.</p> <p><b>Milestones:</b> 175 schools in operation at beginning of year three; 58% of fourth-and 50% of eighth-grade charter school students are proficient in Math exams and 47% of fourth- and 55% of eighth-grade charter school</p> |                          |   |                                  |



students are proficient in reading exams at the end of the third year; by year 3, the federal cost per student will be \$470.

**Outcomes:** 200 charter schools in operation at end of year five; 60% of fourth- and 53% of eighth-grade charter school students are proficient in Math exams and 47% of fourth- and 55% of eighth grade charter school students are proficient in reading exams at the end of fifth year; MDE documents federal investments in successful charter schools on a per student basis and can report on this as requested.

*ii. CSP compliance issues/findings identified in an audit or monitoring review*

Minnesota's 2012 CSP award was monitored by WestEd in 2015. There were two findings: insufficient guidance about lottery practices and unallowable expenses in sub-grant budgets (specifically food for outreach events and ongoing copier leases). Minnesota has responded to the findings by updating grant application instructions to include non-regulatory guidance about lottery and student enrollment. In addition, MDE now requires applicants to provide documentation of their enrollment and lottery policies and provides technical assistance to ensure compliance with state and federal laws. MDE updated budget instructions to eliminate food costs and add a maximum amount for copier leases that decreases each project period to address findings on unallowable expenses.

The CSP Grant Manager reviews updated non-regulatory guidance to ensure compliance with federal regulations and guidelines and disseminates the information to sub-grantees. All sub-grantees are now required to submit documentation of a fair and open hiring process for all CSP-funded positions, enrollment/lottery policies, and charter management organization contracts (if applicable). MDE also conducts a pre-award risk assessment to ensure grantees are equipped to manage federal funds.

**Section C - Application Requirements**

## ***I. Description of Program***

MDE's Charter School Program (CSP) lays a strong foundation for high-quality charter schools through three primary activity areas: 1) awarding sub-grants for the startup, significant expansion or replication of high-quality charter schools; 2) providing program development, educational and leadership opportunities, and technical assistance to charter school authorizers and charter school leaders; and 3) offering technical assistance and support to charter schools in achieving the goals of the World's Best Workforce (WBWF). Together, they support growth and development while being mindful of the overarching need for quality not just in the educational program, but in charter school operations and governance.

### ***A1. Support opening, replication, and expansion of high-quality charter schools***

The first objective under MDE's CSP project is to increase the number of high-quality charter schools and the number of underserved students who attend. MDE awards sub-grants to high-quality charter schools for significant expansion or replication of existing schools and to new charter schools for the planning and implementation of startup schools. New school developers rely on the availability of CSP grants to cover startup costs; the lack of CSP funds is an almost insurmountable barrier to opening a new school. Knowing that the CSP grants are high stakes for applicants and that successful operation as a charter school requires that rigorous Ready to Open standards be met, our approach to sub-granting, described earlier, is thorough and provides unsuccessful applicants useful feedback for strengthening a future application.

Over the five year period of this grant, we expect to fund 55 sub-grants, with approximately 70 percent for new schools, 15 percent for expansion and 15 percent for replication. The maximum sub-grant awards is for 36 months, with an 18 month limitation on the planning period and no more than 24 months for implementation periods. There is a dynamic interplay between

new school approvals and CSP grants, and the timing can be challenging for applicants. Each authorizer has a state-approved portfolio maximum and there is the potential for new authorizers in Minnesota, which would increase the number of startup schools. We know from past experience that the number of approved schools, expansions and/or replications will exceed the number of grants we are able to award.

Our five year project budget includes funds for 28 existing CSP grantees, for whom we seek a waiver to continue funding for a full three year grant period. The budget also factors in the number of approved new schools that have not received a CSP startup grant and the expressed interest of several organizations to seek approval for a new school in the coming years. Most importantly, it includes projections from a recent survey of approved authorizers based on their assessment of the pattern with which schools in their portfolio may seek approval for significant expansion or replication of high-quality programs.

MDE uses a competitive review process for its sub-grants, and not all applicants are successful in a first application. At the same time, experience shows that most applicants are successful over time and there is a robust pool of high-quality schools prepared to startup, significantly expand, or replicate each year. The slow and steady growth in the number of charter schools seen over the last five years is expected to continue, resulting in more than 200 active charter schools at the end of the five year grant period.

***A2. Inform eligible charter schools, developers, and authorized public chartering agencies of the availability of funds under the program***

Minnesota has a vibrant authorizing community and highly engaged charter school stakeholders. MDE leverages the strengths of this community to disseminate news of CSP grant opportunities. Specific communication vehicles include a bi-weekly newsletter (*Charter Center Update*) distributed to more than 500 individuals (including developers, directors, consultants)

connected to chartering in the state, monthly participation in Minnesota Association of Charter School Authorizers meetings, at least quarterly conversations with the Minnesota Association of Charter Schools, direct emails to charter school leaders and authorizers, and the Charter Center website. Grant opportunities are posted on MDE's grants management website and also publicized through the department's weekly Superintendent's Memo, which is sent to all districts and charter schools. Grant opportunity timelines, training and technical assistance webinars, and meetings are published in all of these sources. Following state guidelines, grant opportunities are publicized when we receive official notification of federal funding, and we aim to provide applicants approximately 60 days to respond to the solicitation.

***A3. Work with eligible applicants to ensure they access all Federal funds they are eligible to receive and help the charter schools supported by the applicants and the students attending to:***

***a. Participate in Federal programs the schools and students are eligible to participate in***

Charter Center staff work diligently to ensure that charter schools are aware of and supported in accessing all federal programs. Staff take a two-pronged approach to ensuring awareness – supplying information directly to charter schools and connecting school leaders with other MDE programs – to increase the accessibility of program information. The Charter Center convenes a monthly meeting with internal partners to review and discuss charter school opportunities and challenges. This ensures coordinated communication related to training, support and funding opportunities. In addition to the communication vehicles described above, where announcements are published as soon as possible, charter schools are invited to subscribe to listservs and newsletters produced by other divisions at MDE that provide program-specific information.

The Charter Center coordinates an annual two day Charter School Conference. The conference features presentations from up to ten different MDE programs and includes information about state and federal funding opportunities. Schools are notified of training

opportunities through MDE's *Charter Center Update* and through an agency-wide Training Calendar on MDE's website. MDE divisions that support federal programs offer regular training opportunities and specialized websites to publicize program and funding opportunities.

MDE's Federal Programs division maintains a list of Title I Area Directors and uses it to share key communications related to fund availability, application monitoring, reporting, etc. Minnesota uses an electronic ESEA application process in the State Educational Record View and Submission (SERVS) Financial System. Charter school staff participate in SERVS training as part of the application process. MDE assigns each charter school an Area Director who is a MDE-designated liaison for technical assistance. MDE's Special Education division notifies charter schools of federal special education funding. Allocations are posted on MDE's website and notices sent to listservs for special education directors and other school contacts.

Charter schools are also invited to apply for participation in U.S. Department of Agriculture (USDA) School Nutrition Programs via training workshops or through MDE's Food and Nutrition Service website. Schools participating in School Nutrition Programs receive funds to provide healthy meals or milk to students and charter schools are eligible to apply for participation in all USDA School Nutrition Programs administered by MDE. Charter schools that choose to participate in the School Meal Programs are eligible for funding based upon the number of reimbursable meals served to students eligible for free, reduced, or paid meals. Technical assistance is available to ensure charter schools are meeting the requirements of program participation,.

***b. Receive commensurate share of Federal funds they are eligible to receive***

In Minnesota, charter schools are treated the same as other school districts/LEAs for the purposes of eligibility for funding. The Federal Programs division at MDE notifies existing charter schools of their Title allocations in the same manner as any other district. MDE offers

“Project Writing Workshops” in various regions of the state and WebEx training modules to help eligible schools better understand the requirements of ESSA Title Programs in order to write strong plans for the use of their federal Title funds.

MDE notifies newly opening charter schools of their eligibility and preliminary allocations in August prior to opening. Preliminary allocations are based on projected enrollment numbers and free and reduced-price lunch counts. When a new charter school applies for federal Title funds, the Title Grants Officer works closely with the school to ensure that all necessary information is submitted to document eligibility. If a new charter is not prepared to submit an application by the December 1 deadline, they may request a waiver to carry over funds for use the following year.

In October of their first operational year, new charters attend a training session that walks them through the application process. At this training, new schools are asked to validate data submitted through the October 1 Minnesota Automated Reporting Student System (MARSS) data submission. The verified data are then used to determine actual eligibility status and allocations for Titles I Part A, II and III. Applications for these federal funds for charter schools opening for the first time are due in November. MDE provides additional assistance to accommodate schools that have: 1) added a new grade level; 2) added a new curriculum area; or 3) experienced a 25 percent net growth in total student enrollment from the prior year. Notice of the changes in enrollment due to any of the above situations must be submitted in writing to MDE by October 30 of the current school year.

***c. Meet the needs of student served under such programs, including “students with disabilities” and “English learners” (as defined in the notice)***

The Special Education Funding and Data Team makes federal special education funds available to charter schools once they are approved through the state application process. Charters receive notice of federal entitlement and receive funding by reporting eligible special

education expenditures through an automated reporting system. New charter schools receive a federal allocation based on estimates of special education child count submitted as part of their program approval. Federal allocations are recalculated using final child count numbers in February of each year. Allocations are regularly adjusted for new and significantly expanded charter schools as part of MDE's annual allocation of federal funds. State special education revenue is paid directly to charter schools. Costs for providing special education services not covered by state special education aid are covered through the MDE Tuition Billing System through a negative adjustment in state special education aid from the resident district and a positive adjustment in state special education aid to the charter school.

Charter schools are informed on the availability of funds and training through the same communication vehicles as traditional school districts and complete the same application process. Charter information comes from the MARSS child count; however, a count of students with disabilities who are attending new or significantly expanded charter schools is not available until after the December 1 child count is completed and edited, so an individualized calculation is based on projections submitted by the new or significantly expanding charter school.

Charter schools are eligible to receive supplemental state aid for serving English Learners (Minn. Stat. § 124.D65, subd. 5 and Minn. Stat. § 124E.24 (a)). The revenue is attributed at the same rate as district schools. A pupil ceases to generate English Learner aid in the school year following the school year in which the pupil attains the state cutoff score on a commissioner-provided assessment that measures the pupil's emerging academic English. The commissioner-provided assessment under ESSA is the ACCESS test. ACCESS is also used as the measure for the state's fourth ESSA indicator – Progress toward English Language Proficiency: all schools. The growth-index will measure how each English learner scored relative to his/her individual growth-to-proficiency target on the ACCESS test.

Charter schools have flexibility in offering English Learner programs that address student needs. MDE is part of the World-class Instructional Design and Assessment (WIDA) Consortium and has adopted five WIDA English Language Proficiency Standards. WIDA is an asset-based ‘can do’ philosophy of English Learner education, which resonates with the state’s and charter school’s priorities. MDE provides an implementation framework to assist districts and charter schools in standards aligned English Learner services.

***A4. Ensure that authorized public chartering agencies, in collaboration with surrounding LEAs where applicable, establish clear plans and procedures to assist students enrolled in a charter school that closes or loses its charter to attend other high-quality public schools***

The closure of a charter school has a significant impact on students, families and resident districts. To address this, Minnesota Statutes § 124E.10, subd. 1 (b) states, “the charter contract must contain the plan for an orderly closing of the school...(2) providing parents of enrolled students information and assistance to enable the student to re-enroll in another school; and (3) transferring student records under § 124E.03, subdivision 5 (b), to the student’s resident school district.” MDE’s Non-public Schools Specialist also provides assistance to families who express an interest in home schooling rather than other available options.

MDE’s Charter Center Specialist and Compliance Liaison are diligent in reviewing contracts to ensure closure provisions are addressed. When the language is lacking, authorizers are provided a continuous improvement recommendation and guidance in developing appropriate language. MDE has also promoted statutory changes that would give an authorizer the opportunity to communicate directly with families in cases of school closure, to ensure open and transparent communication. To date, legislative efforts have not been successful, though it is a widely acknowledged need in the charter school sector.

***A5. Not applicable: MDE is a State Education Agency***



***A6. Ensure each eligible applicant that receives a sub-grant under the State entity's program:***

- a. Is using funds provided under this competition for one of the activities described in section 4303(b)(1) of the ESEA; and***

MDE provides comprehensive budget instructions that guides sub-grantees in the appropriate use of funds. Sub-grantees establish a budget that reflects only eligible activities and budget items. They are reimbursed for expenses based on a review of expenditures against the approved budget. A budget modification process allows changes mid-stream, but sub-grantees are cautioned that unapproved expenses may not be reimbursed. These practices ensure CSP funds are being used in line with the approved budget and are reasonable, necessary and allocable to the grant project. The Grants Specialist Coordinator and Grants Manager work together to ensure appropriate, accurate, and timely reimbursement to sub-grantees. MDE provides two introductory webinars for new sub-grantees that are focused on the reimbursement process. At the annual training, program and fiscal monitoring information is provided. The CSP Grant Manager answers questions and provides ongoing technical assistance to all grantees.

- b. Is prepared to continue to operate charter schools funded under this competition in a manner consistent with the eligible applicant's application for such sub-grant once the sub-grant funds under this program are no longer available***

Sustaining the high-quality charter schools that are created, expanded, and replicated with CSP funds is of great importance to Minnesota's charter sector. Ensuring that charter school executive directors and boards are planning for a stable future was one of the issues that MDE staff heard consistently while preparing this application. It is a priority for Minnesota and is reflected as such in our fourth CSP project objective. If selected for a new CSP award, MDE will revise sub-grant applications to include sustainability with the purpose of facilitating additional actions toward financial stability. Sub-grant applicants will be asked to provide a detailed

financial sustainability plan for the charter school following the completion of the three year CSP grant project. The Charter Center will also identify successful CSP startup, replication, and expansion grantees who are eligible to apply for post-award bridge financial and strategic technical assistance from Great MN Schools. MDE will provide training on sustainability planning and strategies at the annual Charter School Training and during Boot Camp trainings.

***A7. Support:***

- a. Charter schools in LEAs with a significant number of schools identified by the State for comprehensive support and improvement under section 1111(c)(4)(D)(i) of the ESEA; and***

Charter LEAs identified by the state for comprehensive support and improvement are readily identified by MDE colleagues and shared with Charter Center staff. The School Support division coordinates Regional Centers for Excellence (RCEs) that offer effective and award-winning (2015 Harvard Ash Center Top 25 Innovations in Government) approaches to improving struggling schools. RCEs are based on the theory of action that increasing a school's capacity to leverage the Common Principles of Effective Practice to support effective implementation of evidence-based instructional practices will improve school infrastructures, create meaningful and sustainable change, support a district's WBWF plan and, most importantly, benefit students.

Every three years, MDE releases a list of Priority and Focus district and charter schools. Priority schools are the 5% most persistently low-performing Title I schools. Focus schools are the 10% of schools with the largest achievement gaps. The designations, part of Minnesota's school accountability system, look at students' scores on state tests, student academic growth from year to year, reduction in achievement gaps, and graduation rates. Once designated, Priority and Focus schools must create a plan to increase student achievement and are eligible to receive assistance from RCEs. Charter schools have experienced success partnering with RCEs; more

than 35 charter schools have been serviced by an RCE in the last five years. One of the tasks to be completed by the CSP Grant Manager under MDE's second objective is to connect charter schools with early learning, college and career, and other innovative resources at MDE in order to share best practices to increase all student performance.

In identified LEAs, MDE seeks to work with external partners in providing support for charter schools. For instance, in Minneapolis, Great MN Schools and Minnesota Comeback are coordinating a city-wide coalition of funders and community organizations seeking to strategically address the key conditions for school success, including leadership & teacher talent pipelines, availability of facilities, and parent engagement.

***b. Use of charter schools to improve struggling schools or turn around struggling schools***

MDE is interested in targeting disadvantaged students for assistance through the strategies for priority populations that are being used successfully at charter schools. These strategies will be shared with colleagues at MDE for dissemination to other struggling schools. One positive outcome is that charter schools enroll more students of color, English Learners, and low-income students than traditional public schools. CSP Charter Schools tend to have higher academic achievement than traditional public schools (and Charter Schools overall) for many racial minorities, children who receive Free and Reduced Lunch, and English learners.

***A8. Work with charter schools on:***

***a. Recruitment and enrollment practices to promote inclusion of all students, including by eliminating any barriers to enrollment for educationally disadvantaged students (who include foster youth and unaccompanied homeless youth); and***

MDE draws upon internal resources and expertise in order to promote the inclusion of all students, and it is reflected in our agency mission, "Leading for educational excellence and

equity. Every day for every one.” The CSP Grant Manager will continue to work in collaboration with other professionals at MDE that specialize in providing services to educationally disadvantaged students, including the Homeless, Neglected, and Delinquent Youth Coordinator in the Federal Programs division, in order to learn and disseminate best practices and services charter schools can offer to recruit, enroll, and retain these students.

More than 9,500 students experience homelessness in Minnesota’s public and charter schools. Homelessness and housing instability presents one of the most significant challenges for these students and their academic success. Homeless and highly mobile students are more likely to be chronically absent, missing more than 10 percent of school days, and chronic absenteeism jeopardizes educational success. Homelessness disproportionately impacts students of color. Seventy-two percent of students facing homelessness are students of color. American Indian students are over-represented among students experiencing homelessness by a factor of 6.1. Black students are over-represented by a factor of 4.5, a student group over-represented in charter schools. A growing body of evidence identifies proven practices for ending homelessness among students. Homework Starts with Home is a new public/private initiative led by the Minnesota Department of Education, Minnesota Housing, the Minnesota Office to Prevent and End Homelessness, and the Heading Home Minnesota Funders Collaborative that will benefit charter schools that promote success in school for homeless or highly mobile students.

***b. Supporting all students once they are enrolled to promote retention, including by reducing the overuse of discipline practices that remove students from the classroom***

MDE’s School Support division assists struggling schools to build school infrastructures, create meaningful and sustainable change, and benefit students. Their staff will be helpful in providing proven strategies around student retention to charter schools. The Special Education division leads the implementation of School-Wide Positive Behavioral Interventions and

Supports (SW-PBIS). This is a comprehensive, data-driven, and educational set of practices ensuring all students, staff, and families are working from the same playbook when it comes to supporting positive behavior and academic achievement. MDE’s School Safety division includes staff with expertise in restorative practices and expertise in Social and Emotional Learning and school climate. The elimination of disproportionate discipline to students of color and the implementation of practices that prioritize relationship building and keep students in the classroom is central to their work, and in line with charter school needs. Together with internal partners like these, and external partners such as MACS, the Charter Center will identify and share practices from charter schools that have experienced success in promoting retention and reducing the overuse of discipline practices that remove students from the classroom.

***A9. Share best and promising practices between charter schools and other public schools***

Many Minnesota charter schools are also members of the Minnesota Association of Alternative Programs (MAAP), which offers a venue for sharing best and promising practices between charter schools and districts. MAAP brings together district and charter schools that serve similar students groups with challenges to success in traditional district schools. An annual conference presents a prime opportunity for establishing relationships and sharing best or promising practices focused on student achievement.

***A10. Ensure that charter schools receiving funds under the State entity’s program meet the educational needs of their students, including “children with disabilities” (as defined in this notice) and English learners***

Charter school contracts include components that address how the needs of children with disabilities will be met and are aligned to Minnesota statutory requirements. Authorizer monitoring of school performance includes review of accomplishments related to English

learners and children with disabilities. MDE’s program monitoring protocol for CSP sub-grantees will incorporate a review of how well the school is addressing these needs.

***A11. Support efforts to increase charter school quality initiatives, including meeting the quality authorizing elements described in section 4303(f)(2)(E) of the ESEA***

Minnesota meets the quality authorizing elements described in § 4303 (f) (2) (E) by providing technical assistance and statutory guidance. Charter law also requires annual assessment of charter school performance data (Minn. Stat. § 124E.16, subd. 2); review of charter school audits (Minn. Stat. § 124E.16, subd. 1); and holding charter schools accountable to the academic, financial, and operational outcomes outlined in the charter contract between the charter school and the authorizer (Minn. Stat. § 124E.10, subd. 3 and 4). Moreover, collaboration with MACS, MACSA and GMS provide integral support for charter school quality initiatives.

***A12. MDE is not a “charter school support organization” as defined in the notice***

***a. A description of how the State entity will provide oversight of authorizing activity, including how the State will help ensure better authorizing***

MDE provides oversight of authorizers through its previously described Minnesota Authorizer Performance Evaluation System (MAPES). Minnesota Statute §124E.05, subd. 5(a) indicates, “The commissioner shall review an authorizer’s performance every five years in a manner and form determined by the commissioner, ... and may review an authorizer’s performance more frequently at the commissioner’s own initiative or at the request of a charter school operator, charter school board member, or other interested party. The commissioner, after completing the review, shall transmit a report with findings to the authorizer; (b) consistent with this subdivision, the commissioner must: (1) use criteria appropriate to the authorizer and the schools it charters to review the authorizer’s performance; and (2) consult with authorizers,

charter school operators and other charter school stakeholders in developing review criteria under this paragraph; (c) the commissioner’s form must use existing department data on the authorizer to minimize duplicate reporting to the extent practicable. When reviewing an authorizer’s performance under this subdivision, the commissioner must not; (1) fail to credit; (2) withhold points; or (3) otherwise penalize an authorizer for failing to charter additional schools or for the absence of complaints against the authorizer’s current portfolio of charter schools.”

Any authorizer with an overall MAPES rating of less than satisfactory may be subject to corrective action. While in corrective action, authorizers must address all measures rated less than satisfactory. Once all deficient measures are satisfactorily addressed, authorizers are moved out of corrective action and then develop their authorizing plan for the next five years (AAP). Because of the AAP’s alignment with MAPES, any measures receiving satisfactory or higher can be pulled directly into an authorizer’s AAP, which reduces duplication. The work authorizers complete to address deficiencies in their corrective action plan is incorporated in its AAP.

MDE also provides oversight of authorizing activities with the review of new charter school affidavits (Minn. Stat. § 124E.06, subd. 4), supplemental affidavits to add grades or primary enrollment sites (Minn. Stat. § 124E.06, subd. 5), change in authorizer requests (Minn. Stat. § 124E.10, subd. 5), and reviewing charter contracts to ensure compliance with Minnesota Statutes, Chapter 124E. MDE’s review ensures authorizers have implemented their policies and procedures as outlined in their Approved Authorizing Application (AAA)/Approved Authorizing Plan (AAP) and in alignment with state statutes.

***A13. Work with eligible applicants receiving a sub-grant under the State entity’s program to support the opening of new charter schools or charter school models described in application requirement (I)(A)(1) that are high schools***

While MDE does not prioritize high schools in CSP sub-grant competitions, we routinely award sub-grants to new school, replication and expansions for high school grades. Of the 28 most recent 2012 CSP sub-grantees, ten include high school grades and an additional six include middle-school grades.

***B1. Able to meet and carry out competitive preference priorities 3 through 8***

MDE has the demonstrated ability and capacity to meet and carry out competitive preference priorities 3 through 8. Details are provided in the first section of this application.

***B2. Working to develop or strengthen a cohesive statewide system to support the opening of new charter schools and, if applicable, the replication of high-quality charter schools, and the expansion of high-quality charter schools***

Through its CSP grant, MDE fosters a cohesive statewide system that supports new and replicating/expanding charter schools. From the rigorous sub-grant application and review process to authorizer oversight and the high quality charter school designation process, we are developing and strengthening the statewide system. MDE works collaboratively with authorizers and charter school leaders and attends a monthly MACSA meetings to ensure regular communication and information sharing.

The Charter Center's efforts in this area will be bolstered through the proposed CSP project. A laser focus on authorizer Ready to Open standards will foster a stronger and more cohesive system. Sub-grantee Boot Camp cohorts will bring the charter community together to discuss best practices, updates, and compliance information that will improve Minnesota's collective ability to open, sustain, replicate, and expand charter schools.

***B3. Working to develop or strengthen a cohesive strategy to encourage collaboration between charter schools and LEAs on the sharing of best practices***



Charter Center staff work with the School Support division to assist struggling schools in with a wealth of resources and expertise in best practices. Internal monthly meetings among all divisions supports greater collaboration and sharing of best practices, particularly in training and communication that benefit charter schools. Charter Center staff works closely with charter schools, many of whom are succeeding in serving student populations that traditionally have more barriers to success. Dissemination of these practices will strengthen all schools.

***C1. Description of the application each eligible applicant desiring to receive a sub-grant will be required to submit and how the State entity will ensure that such application complies with section 4303(f)(1)©(i) of the ESEA***

Each eligible sub-grant applicant will be required to submit an application including information in the following areas: Educational Program, Accountability Goals, State Education Priorities, Governance and Management, Parent and Community Engagement, and Marketing and Outreach. Schools applying for significant expansion or replication must also complete an existing school background section that demonstrates: 1) how the existing school demonstrates overall success in substantially improving student academic achievement in multiple areas; 2) the school's current management and staffing structure; 3) persuasive evidence to support that the school is thriving and financially viable; 4) any significant compliance issues within the past three years, including any audit findings; and 5) how parent and staff satisfaction is measured and evidence of high levels of parent and staff satisfaction. Additions to the application to align it with the new proposed CSP objectives and Minnesota's statewide education goals include: charter school sustainability, WBWF Goals, and enrollment of early learners, postsecondary students, and/or a high percentage of low-income, rural, or racially diverse students.

***C2. Description of how the State entity will review applications from eligible applicants***

MDE uses peer reviewers for federal CSP sub-grant applications. Peer reviewers are recruited annually from Minnesota's charter schools, authorizers and broader education communities. Interested individuals are selected based on their knowledge, expertise, and experience with charter schools and with grant or other application review processes. MDE selects people with diverse backgrounds to help ensure representative review panels. This includes characteristics such as different roles (e.g., charter school director, board member, authorizer liaison), varied geographic representation (e.g., inner-city, suburban, greater Minnesota) and/or experience with different types of students (e.g., elementary, secondary, low-income, English learners, students with disabilities, demographically-diverse). Review panels include three peer reviewers; each panel reviews up to six applications and reviewers receive a nominal stipend (up to \$300) for full participation including: 1) pre-review training; 2) individual review of applications; 3) submission of evaluative rubric; and 4) post-review session.

Peer reviewers are trained on: 1) reviewer roles and responsibilities, including confidentiality, conflict of interest, and unconscious bias; 2) federal CSP grant basics; 3) application components and scoring; 4) evaluative criteria; 5) analyzing applications; 6) writing evaluative comments; and 7) review timeline and rubric submission process. Reviewers are screened for conflicts of interest and are specifically instructed to notify MDE if perceived or actual conflicts arise during the review process.

Once review rubrics are received from peer reviewers, MDE aggregates all scores and evaluative comments in preparation for the post-review panel meeting. The goal of the panel meeting is to discuss discrepancies in scores/comments, make adjustments to address discrepancies and reach consensus regarding an overall rating of each application (i.e., Inadequate, Fair, Satisfactory, Good or Excellent). The results of the peer-review (including the panel consensus rating assigned and score and comments made during the panel session) are

summarized and presented, along with funding recommendations from CSP project staff, to MDE leadership.

***D. Not applicable; MDE will carry out the quality charter school program in whole***

***E. Description of how the State entity will ensure that each charter school receiving funds under the State entity's program has considered and planned for the transportation needs of the school's students***

Charter schools are required to comply with the state's student pupil transportation requirements, and are further able to work with districts to provide transportation (Minn. Stat. § 124E.15). There is a direct relationship between school funding and transportation, so that compliance with transportation requirements has not typically been a challenge. At the same time, the sub-grant application solicits this information and the monitoring protocol will be adapted to include a review of transportation practices.

***F. Description of how the State in which the State entity is located addresses charter schools in the State's open meetings and open record laws***

Minnesota charter law, §124E.03 subd. 5 and 5a requires that charter schools comply with Minnesota Statutes § 13 on government data and Minnesota Statutes § 13D governing open meetings. Further, Minnesota Statutes § 124E.07, subd. 8 (b) and .01 requires that meetings be open to the public and that the public must have access to the records. MDE's Compliance Liaison receives questions related to school compliance with open meeting laws and works with authorizers to address concerns that are raised by parents, teachers, or other stakeholders. The Charter Center likewise relies on the expertise of the state's Information Policy and Access Division (I-PAD) for on-demand assistance. I-PAD plays a key role in educating stakeholders on and promoting compliance with open meeting requirements and data privacy laws.

***G. Description of how the State entity will support diverse charter school models, including models that serve rural communities***

MDE will support diverse charter school models, including those that serve rural communities, during this CSP project by introducing priority points to the sub-grant application. Applicants that demonstrate they serve early learners and/or postsecondary students, and/or enroll a high percentage of low-income, rural, or racially diverse students will receive up to ten priority points. While the majority of charter schools in Minnesota are in the Minneapolis-St. Paul metro area, there are several pockets of charter schools in greater Minnesota. The state's authorizers represent a diversity in mission and resulting charter schools, and MDE works closely with authorizers to support the development of innovative models that are a 'mission fit' and geographically diverse. MDE expects that the addition of priority points and targeted outreach to stakeholder groups will help grow the number of high-quality charter schools outside the metro area, as well as the number of [REDACTED] [REDACTED] racially diverse students.

***II. Assurances***

Signed assurances as outlined in the notice are provided and were submitted with the application package.

***III. Requests for Information about Waivers***

***A. Request and justification for waivers of any Federal statutory or regulatory provisions that the State entity believes are necessary for the successful operation of the charter schools that will receive funds under the State entity's program under section 4303 of the ESEA.***

In order to provide 2012 CSP award sub-recipients a full 36 month timeframe to complete grant goals and objectives, MDE is seeking a waiver to allow new CSP funds to be used for the completion of three year grants for up to 28 sub-grantees. The total amount requested for the

waiver is \$8,181,666 with \$4,931,666 needed for year one, \$2,650,000 for year two, and \$600,000 for year three. Of the 28 existing 2012 CSP Sub-grantees, 12 are significant expansion/replication award recipients.

***B. A description of any State or local rules, generally applicable to public schools, that will be waived or otherwise not apply to such schools.***

Charter schools are exempt from all statutes and rules applicable to a school, school board, or school district unless a statute or rule is made specifically applicable to a charter school or included in the charter section of statutes (Minn. Stat. § 124E.03 subd. 1-2). As such, sub-grantees do not require any waivers to state or local rules.

## Other Attachment File(s)

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\* Mandatory Other Attachment Filename:

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To add more "Other Attachment" attachments, please use the attachment buttons below.

## Appendix A

### CHARTER SCHOOLS PROGRAM ASSURANCES – STATE ENTITIES

Pursuant to section 4303(f)(2) of the Elementary and Secondary Education Act of 1965, as amended by the Every Student Succeeds Act (ESEA), and sections 200.302(a) and 200.331(d) of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), recipients of Grants to State entities must provide the assurances described below.

As the duly authorized representative of the grantee, I certify to the following:

- (A) Each charter school receiving funds through the State entity's program will have a high degree of autonomy over budget and operations, including autonomy over personnel decisions;
- (B) The State entity will support charter schools in meeting the educational needs of their students, including children with disabilities and English learners;
- (C) The State entity will ensure that the authorized public chartering agency of any charter school that receives funds under the State entity's program adequately monitors each charter school under the authority of such agency in recruiting, enrolling, retaining, and meeting the needs of all students, including children with disabilities and English learners;
- (D) The State entity will provide adequate technical assistance to eligible applicants to meet the objectives described in section 4303(f)(1)(A)(viii) and (f)(2)(B) of the ESEA;
- (E) The State entity will promote quality authorizing, consistent with State law, such as through providing technical assistance to support each authorized public chartering agency in the State to improve such agency's ability to monitor the charter schools authorized by the agency, including by--
  - 1) Assessing annual performance data of the schools, including, as appropriate, graduation rates, student academic growth, and rates of student attrition;
  - 2) Reviewing the schools' independent, annual audits of financial statements prepared in accordance with generally accepted accounting principles, and ensuring that any such audits are publically reported; and
  - 3) Holding charter schools accountable to the academic, financial, and operational quality controls agreed to between the charter school and the authorized public chartering agency involved, such as through renewal, non-renewal, or revocation of the school's charter;
- (F) The State entity will work to ensure that charter schools are included with the traditional public schools in decisionmaking about the public school system in the State; and
- (G) The State entity will ensure that each charter school receiving funds under the State entity's program makes publicly available, consistent with the dissemination requirements of the annual State report card under section 1111(h) of the ESEA, including on the website of the school, information to help parents make informed decisions about the education options available to their children, including--
  - 1) Information on the educational program;
  - 2) Student support services;
  - 3) Parent contract requirements (as applicable), including any financial obligations or fees;
  - 4) Enrollment criteria (as applicable); and
  - 5) Annual performance and enrollment data for each of the subgroups of students, as defined in section 1111(c)(2) of the ESEA, except that such disaggregation of performance and enrollment data shall not be





**Appendix B: Resumes/Curriculum Vitae**

**Resume of Patrick Donnell**

**Education Program Specialist-** Minnesota Department of Education (MDE)

1/2017 to present

Specific Job Duties:

Federal Charter School Grant Manager- In my current role, I oversee many aspects of the CSP award including reviewing expenditure report reimbursement submissions, organizing Minnesota's competitive grant review competition, providing technical assistance to our sub-grant recipients, and engaging the Minnesota charter school community. I also ensure the integrity of how the federal funds are being used by our sub-grant recipients by approving budget modification requests as well as conducting monitoring visits.

**Grants Specialist Coordinator** - Minnesota Department of Natural Resources (DNR)

10/2013 to 1/2017

Specific Job Duties:

Federal Aid Coordinator – I currently provide agency-wide federal grant guidance to all DNR Federal Grant Managers and divisions. In this leadership role, I meet with all of our Federal Grant Managers every two months to go over topics relating to federal grant management and administration including reporting requirements, requesting spending authority, developing department policies, and providing ongoing guidance. I am also the department's lead contact for financial assistance regarding disaster events. In this role, I submit disaster assistance applications as well as set-up the SWIFT funding code that will be used by all DNR staff in tracking all the department's possible eligible disaster expenses. I also have experience working in the state's SWIFT accounting system and am very familiar with the Office of Grants Management's grant policies. I am the DNR's expert on the Federal Uniform Guidance regulations (2 CFR 200), which pertain to federal grant requirements. I am also familiar with federal grant reporting requirements and researching federal grant regulations is a key component of my current job responsibilities.

I also continue to be responsible for the specific job duties under my former position of Grants Specialist Senior.

**Grants Specialist Senior** - MN Department of Natural Resources

02/2012 to present

Specific Job Duties:

Pass-Through Grants Administrator – I am the Pass-Through Grants Administrator for a combined 39 Environment and Natural Resources Trust Fund and Outdoor Heritage Fund projects. My duties include drafting contracts, preparing contracts for execution, reading state grant laws and statutes, reviewing and approving reimbursement requests, verifying the eligibility of grant project expenses, assisting and providing guidance to Grantees, updating the DNR grants website, corresponding with the Legislative-Citizen Commission on Minnesota Resources and Lessard-Sams Outdoor Heritage Council, and amending contracts. I also assisted in developing all of our applicable grant program policies and procedures and I have experience in taking part in several audits regarding our grant programs. One major component of this role is to establish positive business relationships with our grantees, which can include non-governmental organizations, municipalities, the federal government, and other entities. Verbal and written communication is very important as well to effectively convey to our grantees the requirements of their grant agreement so they have a complete understanding of the terms they are held to. I was part of a small team of three staff members that built our pass-through grant program from the ground up. Our group worked together to meet short-term and long-term goals and I am proud to say those goals have been met and we have received positive feedback from our grantees. In this role, I won a DNR Commissioner’s Award for Customer Service in the spring of 2013.

Grant Administrator - I have over five and a half years of experience administering grant programs with the Department of Public Safety and the Department of Natural Resources. The tasks associated with being a grant administrator include analyzing and tracking budgets, verifying the appropriate project has the proper purchasing order number, and reviewing reimbursement requests to ensure all expenditures are related to the project and eligible for reimbursement. One key component of this role is having leadership skills as you lead and guide your grantees through their contractual requirements through ongoing communications, grant monitoring, and training.

Grant Agreement Subject Matter Expert – I am responsible for understanding the terms of grant agreements, what rules need to be followed, what terms can be amended, and who is authorized to sign off on reimbursement requests on behalf of the grantee.

**Management Analyst 1 - Minnesota Department of Public Safety, St. Paul, MN**

04/2008 to 01/2012

Specific job duties:

Federal Emergency Management Agency (FEMA) Grants Manager, Minnesota Department of Public Safety, Driver and Vehicle Service Division (DVS) - I have more than 2 years experience in this area. I was responsible for preparing and writing the grant applications for several FEMA projects that DVS was awarded. I worked with our subject matter experts to determine what we needed to include in our grant application narrative, the amount of funding to request, and a

timeline for the completion of project objectives. These duties involved strategic planning and proper coordination to ensure project goals were met on time and grant funds were used appropriately within the scope of the project. This role also required submitting payment forms on a quarterly basis, understanding federal regulations, seeking reimbursement of grant funds, and evaluating grants upon expiration or spending of all grant funds.

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STATE OF MINNESOTA / EDUCATION

**Grants Specialist Coordinator** – Agency Services Division, Grants Unit

November 2010 – Present

15 years of experience negotiating, developing and processing grants and contracts to ensure they comply with state and federal laws, rules and regulations, using generally accepted accounting principles (GAAD).

Implement division administrative and federal discretionary grants budgets for grants annually, using Department of Administration and Department of Education policies and procedures.

Division lead on Continuous Improvement (CI) Team; develop or revise work processes for processing, tracking, monitoring and auditing grants.

Train grants staff on implementation and processing of grants and contracts so that agency procedures are followed and accountability and transparency are maintained.

Review and coordinate the work of other Grants Unit staff to manage workloads; recommend improvements to manager, including additional training needed, reassignment of specific grants or contracts, and to improve program and financial accountability and integrity.

Serve as liaison to federal auditors; answer questions about Grants Unit processes, individual grants, etc., as needed.

Work with external grantees and internal agency directors and staff to manage the grants process; communicate issues and help resolve them so their expenditures and reporting ensure the financial integrity of the funds.

Consult with executive team and agency services leadership on business and financial impact of proposed legislation as it pertains to new or existing grants or contracts.

Collaborated with Grant Management Program develop to create a new electronic grants management system; identified steps to grant processing to ensure system would meet the needs of our staff and clientele; tested product and recommended improvements; wrote process for managing grants in the system; trained staff.

Use SWIFT, SERVS, Microsoft Excel and the Electronic Grants Management System (EGMS) to track and report on financial data for Agency Services management and members of the Executive Team, as needed.

Conduct periodic desk reviews/audits of grants to insure funds are being properly expended and reported. Work with clientele to identify and correct errors in reporting expenditures.

Review, analyze, process and monitor grantee financial reports to assure funds are properly expended.

Approve or deny payments using agency procedures and according to Department of Administration and Department of Education policies, and state and federal law.

Collect, organize and submit Federal Funding Accountability and Transparency Act (FFATA) for entire agency

### **Grants Specialist Intermediate - Program Accountability and Improvement**

Feb 2007 – November 2010

-- Negotiate, develop and process grants and contracts for several divisions to insure they are consistent with state and federal procedures.

-- Conduct periodic desk reviews/audits of grants to insure funds are being properly expended and reported.

-- Review, analyze, process and monitor grantee financial reports to assure funds are properly expended.

-- Approve or deny payments.

-- Serve as liaison between Program Accountability and Improvement, Fiscal Services, and divisions with grants on all contracting and grant processes; provide training to division staff as needed on grant or contract administration.

-- Process and track all vendor, consultant, and grantee contracts so that the processing is completed according to MDE fiscal policies.

-- Track budget and expenses to insure they are accurate and translatable to required budget and invoice reports; provide monthly updates to the Assistant Commissioner.

-- Maintain active reports on division encumbrance totals – prepare and submit reports to division directors and assistant commissioner, as requested.

-- Act as content manager for all PAI web content including writing/reviewing text and documents, working with Communications to insure information is clear for website users, and updating information on pages, as needed.

STATE OF MINNESOTA / CHILDREN, FAMILIES & LEARNING

### **Management Analyst 1–Division Finance (promoted from previous class) - Curriculum & Instruction**

Aug 2001 – Feb 2007

## **Office and Administrative Specialist, Senior - Curriculum & Instruction**

Dec 1994 – Aug 2001

- Analyze the effectiveness of the budget processes through comparative data and staff feedback.
- Accumulate data and execute computations required for preparation of the annual budget.
- Review and analyze monthly expenditure printouts in order to insure accuracy, completeness, and adherence to guidelines; make recommendations to improve reporting procedures or resolve reporting problems.
- Analyze the program and administrative needs of the division and translate needs into annual budgets, prepare and submit all annual and monthly budget and expenditure forms to manager and assistant commissioner.
- Analyze expenditure data and prepare monthly summary reports on spending trends as compared to spending targets, highlight major budget issues and problems and recommend solutions.
- Create simulations to calculate the impact of proposed distributions or implications of allocation changes, and provide analysis to decision makers.
- Conduct ongoing review and analysis of unit expenditures in order to translate expense statements from departmental categories into unit program budget categories, highlight discrepancies, propose solutions.
- Conduct cost-benefit analysis for contracts, stipends, and travel requests in order to assist program managers in establishing project budgets and in making the appropriate encumbrances and expenditures.
- Plan and negotiate all unit contracts with vendors, consultants, and grantees in order to insure that contracts are consistent with unit strategic plans and budget requirements.
- Analyze expenditures by program area, meet with program managers to identify budget and expense issues, and make recommendations to program managers and to manager on strategies for accomplishing the work within budget.
- Monitor funding status of all programs, grants, and salaries.
- Propose expenditure strategies to help program managers allocate resources from a variety of state and non-state sources.
- Conduct cost/benefit analysis for all contracts for system services, particularly larger contracts relating to office equipment and furniture, telecommunications services, and product inventory, and make recommendations to maximize office system effectiveness.

- Provide research and analysis on effectiveness of current work flow, system procedures, or staffing needs, and recommend changes to improve efficiency and effectiveness.
- Analyze office systems or work/information flow needs, propose and implement solutions with manager's approval.

## **EDUCATION**

St. Cloud State University – St. Cloud, MN – B.A. History – 1989

Osceola High School – Osceola, WI - 1984

## **PROFESSIONAL DEVELOPMENT**

Osceola Village Board Trustee 202014 - present

Continuous Improvement Lead – Agency Services Division, Grants Unit

Technical Service Liaison – CFL Technical Service Committee, 2001-03

Osceola Historic Preservation Commission, 2008-present, Chair, 2013 - present

Osceola Historical Society Board Member, 2008-present, President 202011-2014

Service Unit Manager - Girl Scouts of America, 2009-2013

Leader, Troop # 1501 – Girl Scouts of America, 2002-2015

Graduate Assistant, Women's Track and Field – St. Cloud State University, 1991-92

# Gregory A. Vinson

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## EDUCATION

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|---|-------------|
| <b>University of Minnesota-Twin Cities</b><br><b>Ph.D.</b> , Industrial Psychology<br>Supporting Minor: Statistics & Research Methods | <b>2006</b> |
| <b>M.A.</b> , Psychology  | <b>2002</b> |
| <b>Saint Louis University</b><br><b>B.A.(Honors)</b> , <i>magna cum laude</i><br>Psychology; Philosophy Minor                         | <b>1998</b> |

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## PROFESSIONAL EXPERIENCE

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**Minnesota Department of Education, St. Paul, MN** **6/2016-present**  
*Data Analytics*

Direct, Consult and collaborate with other state, district, and school staff and leadership to develop evaluation research  
Provide technical assistance and leadership to state, district, and school staff in areas of metrics and data analysis  
Lead grant-funded project as part of inter-agency collaborative to model K-12, Higher Education, and Workplace outcomes to empirically identify risk factors to success

**YMCA of the Greater Twin Cities, Minneapolis, MN** **5/2015-6/2016**  
*Director of Evaluation and Outcomes*

Lead effort to develop new evaluation and research systems, including data infrastructure, metrics and measures, staffing, work plans and timelines across 20+ sites and a dozen programs  
Provide leadership and guidance to organization and program leaders concerning evaluation research and data interpretation, including with external (funding, government, and university) groups about youth outcomes (including academic)

**Minnesota Department of Human Services, St. Paul, MN** **5/2014-4/2015**  
*Research, Planning, and Evaluation Unit*

Direct, Consult and collaborate with other state, county, and NGO agency staff and leadership to develop evaluation research, manage data collection, and plan methods to investigate programs' efforts to redress equity disparities for minority populations in Minnesota.

Analyze database of assessments of employment counselor competencies and employability outcomes for public assistance recipients using Classical Test Theory (Reliability Analysis, Factor Analysis); present findings and recommendations to state employees, stakeholders, leadership, and colleagues to modify policy to reflect outcome needs.

Develop state and inter-county statistical analyses, compile data from state benefits and health data systems, and interpret results to inform minor teen parent policy and program operations to enhance outcomes for these students.

**Center for Victims of Torture, Minneapolis, MN**  
*Senior Researcher and Evaluation Manager* **9/2009-5/2014**  
*Interim Research Director* **9/2008-12/2008**  
*Research Associate and Evaluation Specialist* **1/2007-9/2009**



Primary investigator on grant funded, multi-million multi-year, research study to evaluate health and social outcome interventions expanded into primary care settings for recent refugees, included price and cost health system encounter data collected by healthcare system and the state of Minnesota.

Managed system for client evaluation research from development to implementation; identified as “best in US” by the Office of Refugee Resettlement (US Department Health and Human Services).

Developed and managed staff to ensure the integrity of evaluation research data systems, including relational databases (SQL and Access based), monitoring thousands of clients/patients in the United States, Sierra Leone, Democratic Republic of Congo, Jordan, Kenya, Peru and Cambodia.

Conducted quantitative and qualitative applied research to identify critical areas in functioning among trauma survivors in the United States, Jordan and Kenya, including using results to create assessment instruments to operationalize refugee needs (e.g., poverty, education, housing, homelessness, etc.).

Created statistical models to determine the cost effectiveness of group vs. individual services; used findings to inform and implement data informed and evidenced-based organizational policy and operational changes.

Liaison and collaborate between internal departments, external agencies, and universities in research, grant writing and direct care, including technical advisor to the US Department of Health and Human Services.

Supervise headquarters (USA) and international staff to design and use data systems, including relational databases, to store, analyze, and interpret data for various audiences.

Presented research findings in peer-reviewed journals, verbally, in reports to donors and government agencies, and to colleagues and lay people at local, national and international conferences

Advised and authored section of measurement and assessment protocol section for MN state guidelines on refugee mental health screening.

**University of Minnesota-Twin Cities, Department of Social Work**  
*Research Fellow Consultant*

**2/2011-current**

Designed quantitative and qualitative applied evaluation research project to identify barriers for refugees' access to health care; analyzed data to identify psychometric and testing issues between diverse populations

**LexisNexis Risk Information and Analysis, Minneapolis, MN**  
*Statistician*

**8/2006-12/2006**

Designed a new algorithm/statistical model that was incorporated into all new financial risk models, including a best ever performing auto loan risk model using combined data from multiple secondary sources

**Human Resources Consultant, Inc., Minnetonka, MN**  
*Research Consultant*

**5/2003 to 5/2006**

Analyzed data and created statistical models to inform further testing issues and revisions for career and education inventory; used lay language to communicate technical results to co-founders

**3M, Maplewood, MN**  
*Research Consultant and Graduate Intern*

**3/2005 to 12/2005**

Identified assessments for leadership and sales success and utilized assessment battery to assist decision makers on making data informed decisions on candidate selections

**University of Minnesota – Twin Cities, Minneapolis, MN**  
*Graduate Researcher*

**9/1999 to 5/2006**

Lead field data collection administration and statistical analyses in a healthcare organization to evaluate leadership capacity among healthcare providers

## **DATA ANALYSIS KNOWLEDGE & SKILLS**

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Selected Analysis Areas: *Multivariate Analysis, General Linear Model (e.g., ANOVA, Regression), Psychometrics and Testing (Classical Test Theory and IRT), Structural Equation Modeling, Factor Analysis, Linear Mixed Modeling (a.k.a., growth curve analysis), Meta-Analysis, Longitudinal Data Analysis, Generalized Linear Model*

Selected Analysis and Database Related Software: *SQL, SAS, SPSS, STATA, R, LISREL (Structural Equation Modeling and Factor Analysis), HLM6 (Linear Mixed Modeling), MS Excel, Winsteps (Rasch Analysis), Access, Teradata, Excel*

## **SELECTED PUBLICATIONS, PRESENTATIONS & TRAININGS**

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Brink, D., Shannon, P., & **Vinson, G.** (in press). Validation of a Brief Mental Health Screener for Karen Refugees in Primary Care, *Family Practice*.

Shannon, P., **Vinson, G.**, Cook, T., & Lennon, E. (2015). Characteristics of Successful and Unsuccessful Mental Health Referrals of Refugees. *Administration and Policy in Mental Health and Mental Health Services*, DOI: 10.1007/s10488-015-0639-8

**Cook, T., Shannon, P., Vinson, G., Letts, J., & Dwee, E. (2015). War trauma and torture experiences reported during public health screening of newly resettled Karen refugees: a qualitative study. BMC International Health and Human Rights (2015) 15:8 DOI 10.1186/s12914-015-0046-y**

Shannon, P., **Vinson, G.**, Wieling, E., Cook, T., & Letts, J. (2014). Torture, War Trauma, and Mental Health Symptoms of Newly Arrived Karen Refugees. *Journal of Loss and Trauma*, 20(6), 1-14.

**Vinson, G.** (2013). Validity of Mental Health Screeners for Minnesota Refugees. Invited presentation to the Minnesota Department of Health Refugee Mental Health Workgroup.

**Vinson, G., & Chang, Z. (2012). PTSD Symptoms among African War Trauma Survivors Living in African Refugee Camps: A Factor Analytic Investigation. Journal of Traumatic Stress, 25(2), 226-231.**

**Vinson, G. (2012). Brief Ethnographic Interviewing: Statistical Analysis for Sort Method. Minneapolis, MN: Center for Victims of Torture.**

**Vinson, G. (2011). Defining and Measuring Domains of Social Functioning and Circumstances for Survivors of War and Torture. Paper presented at the annual meeting of the International Society for Traumatic Stress Studies, Washington, DC.**

**Vinson, G. (2011). PTSD Symptoms among African War Trauma Survivors Living in African Refugee Camps: A Factor Analytic Investigation of Five Models of PTSD. Paper presented at the annual Convention of the American Psychological Association, Washington, DC.**

**Vinson, G. (2009, 2010). Demonstrating Client Improvement to Yourself and Others: Understanding and Using your Outcome Evaluation System (Parts 1-3). Nationwide webinar series; National Capacity Project; Office of Refugee Resettlement, Department of Health and Human Services, Washington, DC.**

**Vinson, G. (2009). Social Functioning for Survivors of Torture: An Empirical Investigation of Functioning Domains. Symposium conducted at the annual Research Symposium of the National Consortium of Torture Treatment Programs, Washington, DC.**

**Vinson, G. (2009). Outcome Evaluation with Limited Technology and Other Resources. Symposium conducted at the New Tech – New Times Conference, Minneapolis, MN.**

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- Vinson, G.** (2008). Overview of Real World Cross-Cultural Research. Invited lecture at Hamline University and Macalester College, St. Paul, MN.
- Vinson, G.** (2007). Community-Oriented Evaluation: A Participatory Community-Oriented Approach Towards Identifying, Defining, and/or Measuring Evaluation Outcomes. Seminar conducted at the biannual Institute for Torture Treatment Programs, Red Wing, MN.
- Vinson, G.,** Ones, D., & Connelly, B. S. (2008). An examination of the attraction element of Attraction-Selection-Attrition (ASA) theory in a field sample. In J. Deller (Ed.), *Research contributions to personality at work* (pp. 137-158). Mering, Germany: Hampp.
- Vinson, G.,** Connelly, B., & Ones, D.(2007). Relationships between personality and organization switching: Implications for utility estimates. *International Journal of Selection and Assessment*, 15(1), 188-133.

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## Lynette M Seal

Permanent Address:



### Work Experience:

**State Program Admin Coordinator** - MN Department of Education

01/2012 to current

Program Accountant responsible for applying generally accepted accounting principles and procedures to financial information, preparing accurate and timely financial reports and grant financial reconciliations, and ensuring accurate and timely state and federal monthly, quarterly, and state and federal year end close processes. Includes serving as a subject matter expert for financial management, program areas, and staff regarding position funding, payroll, accounting structure, internal controls, policies and procedures, federal accounts, and SEMA4 and SWIFT systems.

#### Main Job Tasks and Responsibilities:

\*Responsible for 35 or more federal and special revenue budgets each state fiscal using the effective working relationships I established with the program managers, program directors, program supervisors, program staff, federal and state auditors, agency management and staff, MMB staff, and federal agency contacts ensuring that the administrative and business needs of the agency programs are fully supported.

\*Work with the program directors/representatives suggesting and creating financial management improvements. For example, I worked with a large program division changing the annual system reconciliation from an annual reconciliation to a biweekly reconciliation. This change resulted in Journal Voucher corrections being entered biweekly in SWIFT spreading out the large workload in the program area and the Accounts Payable unit.

\*Assist the program director/representative with business processes improving the workflow for information, corrections, reporting and budgeting.

\*Grant award profile setup in SWIFT including projects, project budgets, and activities ensuring that the projects are valid and that indirect costs are processed accurately in SWIFT.

\*SWIFT financial setup and amendments to appropriations, fin deptids, revenue budgets and expense budgets.

\* Monthly grant financial reconciliations and review with the program director/representative to assure the federal grant transactions are processed in compliance with the federal grant award.

\* Provide budget, general accounting and financial reports to program directors/representatives.

This includes Manager Financial Reports (account and allotment review), Appropriations (spending authority review), expenditure reports, encumbrance reports, SEMA4 salary and non-salary reports, and cost projections. I review the reports analyzing the budget then meet with the program director/representative to adjust allotments so that they represent the operational changes

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and needs of the program. If adjustments or corrections are needed, I write the correction or adjustment and submit for input after approved by the program director/representative.

\*Conduct quarterly financial analysis, reviewing the budget status for each grant award, prepare and update the financial reconciliation so the financial condition is current and available for evaluation. I meet with the program director/representative reviewing the current financial condition assisting the program division with financial evaluation and planning.

\*Federal grant auditing, expenditure and cash audits, reporting and working closely with the federal grant contacts and federal reporting.

\*Draw the federal funds from the federal draw system (USDA and USDE), reconcile cash, and assist the accounts payable supervisor with SWIFT/SEMA4 questions.

\*Enter the quarterly and annual federal reporting for the majority of all the grants that I manage.

\*Bill MnSCU and DEED monthly for federal expenditures for sub-grants.

\*Writing and speaking effectively and clearly presenting financial information, expenditures, encumbrances, budgets, billings, and procedures in understandable terms to management, program directors, supervisors and staff, agency fiscal staff, federal and state auditors, federal and state contacts and vendors. For example, I explained the step by step billing process to the OLA auditor providing proof of each step in SWIFT and explained the checks and balances throughout the process.

\*Knowledge of principles and techniques of customer service ensuring the customers are valued, receive timely and accurate work/assistance in order for them to succeed, and positive language, listening, and confirming satisfaction.

### **State Program Admin Coordinator - MN Department of Education**

09/2009 to 01/2012

SWIFT Readiness Coordinator for the MN Department of Education. This included (1.) Working with the MMB SWIFT team as a subject matter expert in different areas of the accounting, procurement, and payroll processes, (2.) Updating MDE management on the progress of the SWIFT system, (3.) Assisting MMB SWIFT and MDE staff with interpretation of information and updates for conversion from MAPS to SWIFT, (4.) Coordinating and testing the interface. This included working with MDE programmers, MMB SWIFT team, Program Managers, MDE Management, and program staff. (5.) Explaining PeopleSoft functionality and modules as needed, (6.) Converting MAPS field information to SWIFT chart field information while incorporating new information. (7.) Training MDE staff on SWIFT modules (8.) Assisting MDE staff on SWIFT questions/problems (9.) Resolving SWIFT issues for MDE.

Assisting with the prior accounting/procurement system (MAPS) questions and updates as needed. This includes backing up budget operations as needed to ensure that MAPS was updated and accurate.

Assisting with SEMA4 payroll questions and updates as needed. This included training agency staff on the use and application of the new MDE Personnel Time Report which included time and effort reporting.

Extracting data from the Information Access Data Warehouse for accounting, procurement, or payroll information as needed by MDE.

I trained MDE staff on the use of SWIFT and gathered and updated information as needed. I also worked on the SWIFT grants module which captures grants expenditures and revenue using

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project activity detail.

I worked with a strong emphasis on calculation accuracy, data reporting, and SERVS (MDE Interface) payments. I made recommendations to MDE Management regarding changes and internal controls that are needed.

I also corrected and updated the MAPS balance sheet accounts with the information for Maximum Effort School Loans.

### **Finance Specialist 3 - MN Management & Budget**

09/2006 to 09/2009

Team Lead of MN Management & Budget (MMB) Agency Assistance Operations where I provided consultation, advice and functional assistance to the largest and most complex state agencies. I also assisted all agencies with organization changes, financial management improvement, accounting policies and procedures, business processes, biennial budget, fiscal notes, expenditures, revenues, programmatic structure, accounting structure, cost allocation, reporting activities, grant reconciliation, budget activities and auditing. I also assisted small agencies, boards and councils with accounting, expenditures, payments, and financial reporting. I organized, coordinated, and assisted team members with the Agency Assistance Operations work and I was responsible for supporting agency use of the MN Accounting and Procurement System (MAPS). The unit had 3 Finance Specialist 1, 1 Management Analyst 2 and 1 Accounting Officer Intermediate. In this position I worked closely with the Executive Budget Officers and the Budget Division of MMB coordinating the fiscal open and fiscal closing processes so that the state legal and GAAP requirements were met. This included new fiscal year set up which includes programmatic structure, appropriations, organizations, allotments, revenue budgets, and expense budgets. I also advised agencies regarding the use of projects, jobs, activities, and grants for cost accounting processes. This position included system tests where I analyzed how the MAPS system worked and how it affected the budget and online processing. Ad Hoc reporting was also part of my team's responsibility in assisting agencies and the public with data mining information from the Information Access Warehouse. I have a strong emphasis on governmental accounting and internal controls. This position and the previous Finance Specialist 3 position both included written and oral communication skills working with team members, programs, budget division managers, Executive Budget Officers, agency managers and staff. I wrote policies and procedures, prepared financial report information for small agencies, prepared the Annual Accounting Documents 1, 2 and 3, and made presentations on MAPS and SEMA4. Through my work experience at MMB I became very knowledgeable in the area of administrative management and public administration.

This position was a key position in the coordination of information between the budget division and agencies. I established and maintained effective working relationships within the department and with various officials in the Governor's office and other government agencies. I have a strong understanding and knowledge of state and federal laws and regulations pertaining to administrative policies, procedures, and controls.

Agency organization and lines of authority, administrative policies, procedures, and standards were followed and understood.

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### **Finance Specialist 3 - MN Management & Budget**

04/2006 to 09/2006

Team Lead for the Statewide Payroll Services Division of MN Management & Budget. This was the lead position for 3 Accounting Officers Intermediate and 2 Finance Specialists 1. In this position I used my knowledge of payroll and accounting principles and practices; knowledge of payroll tax laws and regulations; research, problem solving, and decision making skills; and organizational and communication skills. This position included payments to all state employees and vendor deductions by either warrants or electronic funds transfer. Program controls were used to assure the integrity of the data. I was also the lead position for the technical information related to salary projections and obligations, payroll issues, leave accounting, time and labor, bargaining unit and contract interpretation, MN statutes and regulations, payroll adjustments and corrections, payroll deductions, and control table updates. I was also responsible, as part of a team, for on-going design and updates to the SEMA4 payroll system. In this position I worked with Oracle/PeopleSoft daily, created and ran queries, read tables, researched and determined problems, assisted staff and agency staff with system problems. If there were system problems, I determined solutions to the problem, assisted staff and agency staff with the system problem.

I studied business law and payroll tax compliance at MnSCU which included retirement, social security/Medicare, federal, state, and other tax issues which I applied in this position. I worked with payroll federal and state income tax compliance in this position and the prior two payroll positions at MMB. I also studied internal control at MnSCU and worked to improve internal control in all areas of payroll and accounting. This position and the prior two payroll positions also included working with management and the federal contacts on federal tax issues and laws and their application to payroll policies and procedures.

### **Finance Specialist 1 - MN Management & Budget**

03/2002 to 04/2006

SEMA4 functional expert for leave accounting, leave conversions, leave donations, mass time entry, current/prior pay period adjustments, control tables and rule table updates, self-service time entry, warrants - lost and forged, tax levies, and bargaining unit contract/plan review and implementation. I worked as a functional expert on various upgrades to SEMA4 (PeopleSoft Oracle) which included business expenses, cost projections, labor distribution, and system audit trails. I worked closely with the programmers and consultants on the vanilla system and modifications and also assisting the staff writing SEMA4 help.

As the functional expert I established effective working relationships with MMB management and staff, agency division directors, agency payroll staff, agency fiscal staff, and programmers and consultants resulting in accurate payroll and labor distribution transactions posting to the accounting system.

### **Accounting Officer Intermediate - Finance Specialist 1 - MN Management & Budget**

07/1997 to 03/2002



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SEMA4 functional expert for SEMA4 labor distribution, labor distribution corrections, position funding, mass expense transfers, travel/business expenses, travel advances, relocation, business expense transfers, salary projections, bargaining unit contract or plan review and implementation. I worked on the SEMA4 (PeopleSoft Oracle) upgrades for these functional areas. I worked closely with the programmers and consultants on the vanilla system and modifications to the vanilla system testing the system modifications and also assisting the staff writing SEMA4 help. As the functional expert I established effective working relationships with MMB management and staff, agency division directors, agency payroll staff, agency fiscal staff, and programmers and consultants resulting in accurate payroll and labor distribution transactions posting to the accounting system.

**Accounting Officer - MN Attorney General**

07/1995 to 07/1997

Worked closely with the MN Department of Finance creating the biennial budget and entered fiscal notes while working closely with the Program Managers, Management, and the Executive Office.

Worked closely with Fiscal Management and Program Managers creating the budgets and implementing the budgets each State Fiscal Year. I then worked closely with the MN Department of Finance creating the agency State Fiscal Year budgets in SWA and MAPS including appropriations, allotments, revenue budgets, expense budgets, annual purchase orders and blanket purchase orders. I used data warehouse appropriation, expenditure, and encumbrance reports to review all budgets analyzing each for program results and any questions or problems.

I was also responsible for the inventory until 1995. I worked with the indirect costs and conversion of the MN Attorney General's Office accounting and procurement information from SWA to MAPS. I assisted staff with the accounting and procurement training in the MAPS and SWA applications while I was the main contact for all MAPS applications and problems. I was also a certified purchaser. This position was the lead accounting and procurement position.

I worked with Attorney General Fiscal Management, Program Managers, Deputy Attorneys, and Program staff. I also worked with Federal Auditors, State Auditors, Department of Finance staff, Department of Administration staff, customers, and vendors ensuring that the administrative and business needs of the agency program areas were fully supported.

Each month I audited the expenditures, encumbrances, and financial reports for questionable expenditures and encumbrances, noting all questions and working with the program area manager to resolve the questions.

Audited and reconciled federal grants, contracts, and leases. I also reconciled payroll expenditures using the Payroll Posting Audit Trail, verified and approved all of the accounts payable invoices, coordinated the accounts payable and accounts receivable resolving problems with the accounting staff.

Through my work experience at the Attorney General's Office I became very knowledgeable in the area of administrative management and public administration.

This position was a key position in the coordination of information between the budget division and agencies. I established and maintained effective working relationships within the department and with various officials in the Governor's office and other government agencies. I have a strong understanding and knowledge of state and federal laws and regulations pertaining to



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administrative policies, procedures, and controls.

Agency organization and lines of authority, administrative policies, procedures, and standards were followed and understood.

**Education:**

Metropolitan State University, St Paul, MN  
B.S., Accounting  
December 2006

Detroit Lakes High School, Detroit Lakes, MN  
High School/GED,  
June 1977

**Training:**

SEMA4 applications  
SWIFT applications  
SWIFT data warehouse  
Oracle/PeopleSoft applications  
PeopleSoft  
PeopleSoft Query and Crystal reporting tools  
IA Warehouse Crystal  
Proficient in Microsoft Word, Excel, Access, Outlook, PowerPoint  
Lotus  
State of Minnesota inventory management systems  
Biennial Budget  
Fiscal Notes  
MAPS applications (procurement and accounting)  
SWA  
Business Law, Payroll and Tax law  
Currently learning OBIEE

**Licenses and Certifications:**

PeopleSoft training

**Honors, Awards, and Special Accomplishments:**

I was a functional analyst on SEMA4 upgrades converting the system to upgraded versions of PeopleSoft. The upgrade required analytical skills, working with various technical staff, reviewing system qualifications and determining if the application met our requirements. I enjoy working on system upgrades and with technical staff resolving problems.

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**Other Information:**

Dean's List.

I have attended the Generally Accepted Accounting Principles training at MMB and also studied GAAP, GASB and Government Accounting, GAAS, GAGAS while attending Metropolitan State University. Throughout my positions with the State of MN, I also have worked with the Federal and State auditors meeting their requirements. When I worked for the Attorney General's Office I verified grant expenditures and receipts, monitored the grants making sure all grant requirements were met. I also audited the grants, grant contracts and expenditures and worked with 3 CPA's on the grants to ensure that all administrative controls were completed in a timely manner.

Strong written and oral skills sufficient to demonstrate proficiency in developing and articulating persuasive arguments.

Working knowledge of OMB circular A133 and cost principles defined in OMB circular A87 and A122.

Ability to effectively manage projects.

Ability to travel.

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Joseph Curiel  
Results Measurement Specialist  
Minnesota Department of Education

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[REDACTED]  
[REDACTED]  
[REDACTED]

*Experience*

**Minnesota Department of Education**

**2-2015 to Present**

1500 Highway 36 West  
Roseville MN 55113

[REDACTED]

Position: Results Measurement Specialist  
Responsibilities: Data analysis and evaluation  
Supervisor: Kara Arzamendia

**ACET Inc.**

**6-2008 to 2-2015**

1500 Highway 36 West

[REDACTED]

[REDACTED]

[REDACTED] Measurement Specialist  
Responsibilities: Data analysis and evaluation  
Supervisor: Stella Zimmerman

**University of Houston**

**1-2007 to 5-2008**

University of Houston  
Department of Sociology  
450 Phillip G. Hoffman Hall  
Houston TX 77204

[REDACTED]

Position: Teaching Assistant  
Supervisor: Dr. Russell Curtis

**Edvance Research**

**3-2007 to 5-2007**

9910 IH-10 West, Suite 700  
San Antonio, TX 78230

[REDACTED]

Position: Research Assistant  
Supervisor: Kathy Shapley

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## Education

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### University of Houston

8-2006 to 5-2008

Degree: Masters of Arts in Sociology

### Humboldt State University

8-2002 to 5-2004

Degree: Bachelor of Arts in Philosophy

### Shasta College

8-1999 to 5-2002

Degree: Transfer General Education

### North Valley High School

9-1995 to 5-1999

Degree: Diploma

Pamela J Jones



**Experience:** State of Minnesota – Department of Education 1990 – 2017

### Grant Coordinator

In this position, I analyze, recommend, implement and develop systems, policies and tools to coordinate and administer a variety of federal and state grants. My primary duties consist of:

- Assisting program divisions with competitive discretionary state and federal grant and contract initiatives
- Development of RFPs to ensure alignment with federal and state funding purposes
- Ensure RFPs meet accessibility standards before releasing on MDE's public website
- Coordinates and oversees competitive grant reviews and facilitates grant review discussions to ensure they conform with federal and state eligibility criteria and procurement policies and are fair and objective

- 
- Responds to public data requests on behalf of Agency Finance related to grants, contracts and supply purchases and ensure state and federal data privacy and data practice laws are considered before releasing content
  - Participate in the state Grants Governance Committee to discuss grant policies and grant policy making and share best practice information amongst other state agencies
  - Developing, updating and using grant tools such as the pre-award risk assessments and closeout evaluation forms
  - Developing and updating discretionary grant application budgets to conform to revisions in school district uniform financial accounting and reporting requirements (UFARS)
  - Respond to inquiries from the public with regard to general grant funding
  - Piloting of electronic systems to improve efficiency for conducting competitive reviews and grant tracking
  - Earlier experience tracking special education division staff work plan budgets and processing of requisitions, contracts, interagency agreements and grants

Our customers are federal education office personnel, school district personnel, parents and nonprofit organizations, other state agency personnel, for-profit organizations, community leaders, libraries, institutions of higher learning and state auditors. I have coordinated and handled over 200 RFPS for contract and grant/funding initiatives with a value of over \$40,000,000 every 2 years.

**Education:**

University of Minnesota and St. Paul Technical College Business Classes  
NE Metro Technical College (Century College) in White Bear Lake – Legal Procedures Certificate  
Computer and Business Classes – TIES, Century College  
State Office of Grants Management/Administration Trainings in Financial Reconciliation/Pre-award Financial Capacity/Monitoring

**Past and Current Volunteer Experience:**

Minnesota Special Olympics – Area 11 Ramsey County – Secretary and Event Volunteer  
Breast Cancer Research Fundraising Projects  
Homeowners Association Treasurer  
Neighborhood Watch Captain – 50 units  
National Nite to Unite Event Coordinator  
Certified Emergency Response Volunteer (CERT) – Ramsey County

# Minnesota Board of School Administrators

1500 Highway 36 West – Roseville, Minnesota 55113 – Phone 651-582-8754

May 18, 2017

Kathryn Meeley  
U.S. Department of Education  
400 Maryland Avenue SW Room 4W257  
Washington, DC 20202-5970

Dear Ms. Meeley,

I am delighted to extend the Minnesota Board of School Administrators (BOSA) support and partnership to the Minnesota Department of Education's (MDE) proposed Expanding Opportunity through Quality Charter Schools Program (CSP) – Grants to State Entities project.

As I talked through the Charter Center's goals and objectives with Jennifer Nelson, the Charter Center director, I was struck by how closely they match those of BOSA – providing quality educational opportunities to charter school leaders that lead to more sustainable schools.

BOSA eagerly anticipates the opportunity to bring together a task force on charter school leader credentials under the auspices of this project. The board is perfectly poised to engage higher education programs and charter school stakeholders to review charter school needs, Minnesota's rules related to principal and superintendent licensure and more to determine a meaningful pathway for the education of charter school leaders which may include credentialing.

While there are many skilled and talented individuals serving as charter school directors, I am also aware of the educational gaps in areas like board governance or financial management that pose significant challenges to the sustainability of charter schools. I believe that MDE's proposed project will make a tremendous contribution to the state's charter sector by identifying areas of need, developing a curricular approach to filling the needs, and using a cohort model to build a stronger system. In doing so, MDE will develop a model that can support the sustainability of charter schools nationwide.

Please don't hesitate to contact me if additional information would be helpful.

Sincerely,

  
Janet Mohr  
Executive Director  


**Board Members**

**Chair:** Mary Mackbee

Nancy Antoine, Tracine Asberry, Kim Hartung, Deb Henton,  
Denise Kapler, Robert Meyer, Daniel Naidicz, Tracy Reimer, Louise Sundin

**Janet L. Mohr, Executive Director**

PR/Award # U282A170007

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MN ASSOCIATION OF  
CHARTER SCHOOLS

*Unleashing education from convention*

Wednesday, May 17, 2017

Kathryn Meeley  
U.S. Department of Education  
400 Maryland Avenue SW, Room 4W257  
Washington, DC 20202-5970

Dear Ms. Meeley:

The Minnesota Association of Charter Schools supports the Minnesota Department of Education's (MDE) application for a new Expanding Opportunity through Quality Charter Schools Program (CSP) – Grants to State Entities.

Minnesota is proud of its pioneering role as creator of the nation's first charter school law in 1991. Since passage of the law, there has been a steady growth in the number of charter schools and students. The Minnesota Association of Charter Schools has been a leader in working with the Charter Center at MDE to continually improve our charter law, enhance school accountability, strengthen authorizer capacity, and ensure an innovative and vibrant charter school community.


We expect that that our collaborative work with MDE will continue to grow during this next CSP project. We are supportive of, and had a voice in shaping, MDE's four ambitious, but attainable, CSP objectives:

1. Increase the number of high-quality charter schools that serve disadvantaged students and the overall number of students served by charter schools in Minnesota;
2. Support charter schools in achieving the goals of Minnesota's World's Best Workforce (WBWF) legislation, including closing racial and economic achievement gaps and ensuring all children are ready for school;
3. Increase the quality of Minnesota charter schools; and
4. Increase the sustainability of Minnesota charter schools.

These objectives will focus our charter community's collective work on increasing the number of high-quality and sustainable charter schools, and the number of Minnesota students (*particularly those who are disadvantaged and underserved*) they are able to serve in order to improve academic achievement. A new CSP grant will allow Minnesota's charter school community to continue to build upon our 26 year tradition of creating quality and innovative educational opportunities for all of Minnesota's youth.

Thank you for your thoughtful consideration of Minnesota's application.

Sincerely,



Executive Director

161 St. Anthony Ave., Suite 1000 • Saint Paul MN 55103 • 651.789.3090 • Fax 651.789.3093 • [www.mncharterschools.org](http://www.mncharterschools.org)



May 15, 2017

Kathryn Meeley  
U.S. Department of Education  
400 Maryland Avenue SW, Room 4W257  
Washington, DC 20202-5970

Dear Ms. Meeley:

On behalf of Great MN Schools, I am writing to express our strong support of the application by the Minnesota Department of Education (MDE) for the Expanding Opportunity through Quality Charter Schools Program (CSP) - Grants to State Entities.

Great MN Schools (GMS) is a nonprofit organization based in Minneapolis, MN. We make strategic investments in proven and promising schools. Our ten-year goal is to ensure every child in Minneapolis has access to a high performing school, regardless of race, income or zip code. Charter schools are a critical component of our strategy, and we have partnered with the Charter Center at MDE, as well as the MN Association of Charter School Authorizers to ensure the continued success of the Minnesota charter community, as an important option in our efforts to provide all children in Minneapolis with access to a high quality education.

GMS' team has experience as a founding partner of the Charter School Growth Fund and executive director of Talent Management & Strategic Programs at Denver Public Schools, as a co-founder and COO of YES Prep in Houston and then of KIPP Austin, and as an Assistant Deputy Secretary for USDE's Office of Innovation & Improvement and an MDE assistant commissioner. In partnership with our "sister" organization, Minnesota Comeback, GMS guides a citywide coalition of funders and community leaders working in tight coordination on impactful strategies for school success, including leadership and teacher talent pipelines, availability of quality facilities, and parent engagement. We are also members of the "Education Cities" national network.

We look forward to continuing our collaborative work with MDE during this next CSP project and are strongly supportive of, and had a voice in shaping, MDE's ambitious, but attainable, CSP objectives. These objectives will focus our collective work on increasing the number of high-quality and sustainable charter schools in Minnesota and the number of students they are able to serve in order to improve academic achievement for Minnesota students, particularly those who are disadvantaged and underserved. A new CSP grant will allow Minnesota to continue and build upon our long tradition of an active charter school environment. Thank you for your thoughtful consideration of this application.

Respectfully,

A black rectangular redaction box covering the signature of Jennifer Stern.

Jennifer Stern  
CEO, Great MN Schools

A black rectangular redaction box covering contact information, likely a phone number.

(612) 314-3330

Great MN Schools / 2800 University Ave SE, Suite 202 / Minneapolis, MN 55414 / [www.greatmnschools.org](http://www.greatmnschools.org)





5/17/17

Kathryn Meeley  
U.S. Department of Education  
400 Maryland Avenue SW, Room 4W257  
Washington, DC 20202-5970

Dear Ms. Meeley:


As the Director of Charter School Authorizing for the University of St. Thomas, I am pleased to write this letter of support for the Expanding Opportunity through Quality Charter Schools Program (CSP) – Grants to State Entities application to be submitted by the Minnesota Department of Education (MDE).

Minnesota is proud of its pioneering role as creator of the nation's first charter school law in 1991. Charter schools have flourished here since passage of the law and we are seeing continued, steady charter school growth. The University of St. Thomas has been a part of this movement and currently partners with the Charter Center at MDE. I feel fortunate to have had the opportunity to work with and evaluate authorizers in a number of states for the past decade, often interacting with authorizing program staff and members of other states' education agencies in the process. I have always come away from these experiences profoundly grateful for the open, professional, collaborative relationship between MDE and Minnesota authorizers and believe it to be the healthiest and most productive I have encountered.

We would like to continue this collaborative work with MDE during the next CSP project. Further, we are supportive of MDE's CSP objectives, particularly the elements concerned with increasing the number of high-quality charter schools that serve disadvantaged students and increasing the overall quality and sustainability of Minnesota's charter schools.

These objectives will focus our collective work on increasing the number of high-quality and sustainable charter schools in Minnesota and the number of students they are able to serve in order to improve academic achievement for Minnesota students, particularly those who are disadvantaged and underserved. A new CSP grant will allow Minnesota to continue and build upon our long tradition of an active charter school environment. We look forward to participating in this work, to the benefit of all our youth. Thank you for your thoughtful consideration of this application.

Sincerely

  
Molly M  
Director of Charter School Authorizing, University of St. Thomas



**2017**

***Application to Authorize Charter Schools in Minnesota***

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## Introduction

A charter school authorizer is a public oversight organization approved by the state to authorize one or more charter schools. An authorizer's fundamental role is to hold a school accountable for the terms of its performance contract – the "charter." The primary purpose of Minnesota charter schools is to improve all pupil learning and all student achievement ([Minnesota Statutes, section 124E.01, Subdivision 1](#)). Through effective oversight, authorizers hold charter schools accountable for realizing this purpose. Authorizer responsibilities include approving, monitoring, evaluating, renewing and, if necessary, closing charter schools when contract terms are not met. To determine an organization's eligibility to authorize one or more charter schools in Minnesota, please review [Minnesota Statutes, section 124E.05, Subdivision 1](#).

This document provides guidance to eligible organizations who are interested in becoming an approved charter school authorizer in Minnesota. Per [Minnesota Statutes, section 124E.05, Subdivision 3\(a\)](#), *An eligible authorizer under this section must apply to the commissioner for approval as an authorizer before submitting any affidavit to the commissioner to charter a school. The application for approval as a charter school authorizer must show the applicant's ability to implement the procedures and satisfy the criteria for chartering a school under this chapter. A list of approved authorizers is available on MDE's website.*

The authorizer standards and expectations in this application are aligned with the performance measures, indicators and specifications in the [Minnesota Authorizer Performance Evaluation System \(MAPES\)](#). MAPES was developed per [Minnesota Statutes, section 124E.05, Subdivision 5](#), and is used to review an authorizer's performance every five (5) years.

As organizations seek to become approved authorizers of charter schools in Minnesota, they join a history of school choice, autonomy and innovation. MDE applauds those who apply to become approved authorizers as the application itself demonstrates commitment to the students of Minnesota and to improved outcomes for students and high-performing charter schools.

## Application Timeline and Process

Key stages and dates in the new authorizer application review process are:

| Stage  | Date   |
|--|--|
| Intent to Apply Notice due to MDE                      | Submitted at any time  |
| Information Session                                    | Two hour meeting is scheduled after an Intent to Apply Notice is received to review application instructions   |
| Applicant Submits Application to MDE                   | Submitted at any time  |
| Applicant Interviews                                   | To be determined   |
| Initial Approval/Disapproval Decision and Notification | 45 business days from submission date  |
| Response to Deficiencies                               | 20 business days from notice of deficiencies   |
| Final Decisions  | The commissioner will notify applicant of final approval or final disapproval within 15 business days after receiving the response to the deficiencies |

## Intent to Apply Notice and Information Session

Applicants who are interested in learning more about the *Application to Authorizer of Charter Schools in Minnesota*, are encouraged to submit an *Intent to Apply Notice* via email to [mde.charterschools@state.mn.us](mailto:mde.charterschools@state.mn.us). Please use the form provided in this instruction document. Once the *Intent to Apply Notice* is received, MDE will contact applicants to schedule a two hour meeting to review the components of this application, answer questions and provide technical assistance.

## New Authorizer Application Instructions

The authorizer application standards and expectations in this application are aligned with the performance measures, indicators and specifications in the [Minnesota Authorizer Performance Evaluation System \(MAPES\)](#). MAPES was developed per [Minnesota Statutes, section 124E.05, Subdivision 5](#), and is used to review an authorizer's performance every five (5) years.

The applicant provides a narrative response for Part A and Part B questions. The narrative response should clearly respond to the guiding question(s) and essential element(s) of the measure. The narrative should include measure headings organized to the narrative response. An attachment may be used to provide additional information. Clearly identify the attachment and reference the page(s), section, etc. where the information is located within the attachment.

**Please Note:** It is not necessary to restate information in the application. Specifically, we ask that you do not repeat information in the narrative that is provided in an attachment. For example, if a performance framework is included as an attachment, please do not duplicate information in the narrative.

### Definitions:

**Measure:** Indicates title of measure and provides a guiding question(s); the measures align with MAPES' performance measures

**Guiding Question(s):** Must clearly address guiding questions(s) in narrative

**Advanced Guiding Question(s) (optional):** Shows applicant is addressing high quality authorizing standards and striving for commendable and exemplary status; should be clearly addressed in response to the measure

## Part A: Authorizer Capacity and Infrastructure

The purpose of Part A is to provide applicants an opportunity to demonstrate their capacity and commitment to further the purposes of [Minnesota Statutes, Chapter 124E](#). This portion of the application directly aligns with Part A performance measures in MAPES.

Provide a narrative response for each Part A measure and include attachments, when applicable, that address the applicant's capacity and infrastructure.

**Measure A.1 - Authorizer Mission:** *The applicant has a clear and compelling mission for charter school authorizing.*

### Guiding Questions:

- Identify the applicant's clear and compelling mission and indicate how it fully aligns with [Minnesota Statutes, Chapter 124E](#)
- Describe how authorizing charter schools realizes the applicant's mission

**Measure A.2 - Authorizer Vision and Organizational Goals:** *The applicant has a comprehensive vision for charter school authorizing with clear organizational goals and time frames for achievement that are aligned with the purposes of Minnesota law.*

**Guiding Questions:**

- Identify the applicant's comprehensive vision for charter school authorizing and indicate how it fully aligns with [Minnesota Statutes, Chapter 124E](#).
- Identify the applicant's measurable organizational goals that align with the applicant's chartering vision including the criteria and timeframe for achievement

**Advanced Guiding Questions:**

- Explain how the applicant will regularly evaluate its work against its chartering vision and organizational goals
- Explain how the applicant will implement improvement plans if falling short of its vision and organization goals

**Measure A.3 - Authorizer Structure of Operations and Measure A.4 - Authorizer Staff Expertise:** *The applicant has a clear structure of duties and responsibilities and sufficient resources to effectively oversee its portfolio of charter schools. The applicant has appropriate experience, expertise and skills to sufficiently oversee the portfolio of charter schools.*

**Definitions:**

- **Expertise** is defined as having knowledge, education, training, etc. in the areas of charter schools, curriculum, instruction, management, facilities, finance and law
- **Experience** is defined as length of time working in the areas of charter schools, curriculum, instruction, management, facilities, finance and law
- **Skills** is defined as effective application of experience and expertise in the areas of charter schools, curriculum, instruction, management, facilities, finance and law

**Guiding Questions:**

- Describe the capacity of the applicant to serve as an authorizer, including the positions (e.g. employees, contractors, volunteers; both paid and unpaid positions) allocated to authorizing duties, the qualifications for those positions (expertise, experience and skills in charter schools, curriculum, instruction, management, facilities, finance and law, the full-time equivalencies of those positions and the financial resources available to fund the positions
- Describe how the applicant will manage and safeguard information, data and records related to authorizing
- Provide an organizational chart that shows clear lines of reporting and authority/decision-making and, if applicable, showing projected organizational changes due to proposed expansion over the five-year term

**Measure A.5 - Authorizer Capacity and Skill Development of Leadership and Authorizing Staff:** *The applicant has a plan to build the knowledge and skill base of its authorizing leadership and staff through professional development. The applicant has a plan to provide professional development aligned with its operations, vision and goals for overseeing its portfolio of charter schools.*

**Guiding Questions:**

- Describe the applicant's plan to offer professional development to authorizing leadership and staff
- Describe the frequency and nature of potential professional development as well as personnel expected to attend
- Describe how professional development will align with the applicant's operations, vision and goals for its portfolio of charter schools

**Advanced Guiding Question:**

- Describe how professional development will be measured, evaluated and customized to meet the needs of the authorizing leadership and staff

**Measure A.6 - Authorizer Operational Budget for Authorizing the Portfolio of Charter Schools:** *The applicant has a plan to allocate resources commensurate with its stated budget, needs and responsibilities of authorizing the portfolio of charter schools.*

**Guiding Questions:**

- Include the applicant's anticipated five-year budget (for example, FY 2017– FY 2022) outlining the following:
  - Anticipated revenue sources such as fees collected annually from schools and additional funds from outside sources
  - Anticipated expenditures such as staff, travel, consultants, office costs (e.g. equipment, supplies), etc.
  - Anticipated personnel budget increases in relation to portfolio growth
- Provide the target number and size of schools for the portfolio of charter schools for a five-year period, **Important note:** this establishes the maximum portfolio size for the applicant's five-year term

**Advanced Guiding Question:**

- Describe how the applicant's budget shows resource allocations dedicated to achieving nationally recognized quality authorizing standards

**Measure A.7 - Authorizer Operational Conflicts of Interest:** *The applicant implements a clear policy to address conflicts of interest in all decision-making processes concerning the portfolio of charter schools.*

**Guiding Questions:**

- Include the applicant's policy to address conflicts of interest in all decision-making processes concerning the portfolio of charter schools
- Describe the process and procedures for implementing and executing the applicant's conflict of interest policy to avoid conflicts of interest that might affect the applicant's capacity to make objective, merit-based application and renewal decisions and avoid decisions and interventions that hold the applicant accountable for a school's performance

**Measure A.8 - Ensuring Autonomy of the Schools in the Portfolio:** *The applicant implements a policy to preserve and support the essential autonomies of the portfolio of charter schools.*

**Guiding Questions:**

- Include the applicant's policy to ensure school autonomy and indicate how it fully aligns with [Minnesota Statutes, Chapter 124E](#)
- Describe how the applicant's policy on school autonomy establishes and recognizes the school's authority over academic, operational and financial needs and respects the school's authority over the schools' day-to-day operations.
- Describe the process and procedures for implementing and executing the applicant's policy to ensure school autonomy
- Describe how the applicant will hold schools accountable for outcomes rather than processes and operations

**Advanced Guiding Question:**

- The applicant describes how its policy to ensure school autonomy aligns with nationally recognized quality authorizing principles and standards

**Measure A.9 - Authorizer Self-Evaluation of Capacity, Infrastructure and Practices:** *The applicant plans to self-evaluate its internal ability (capacity, infrastructure and practices) to oversee the portfolio of charter schools.*



**Guiding Questions:**

- Describe the applicant's plan to regularly review its internal ability to oversee its portfolio of charter schools
- Describe the applicant's process to implement continuous improvement plans which will result in more effective authorizing practices

**Advanced Guiding Questions:**

- Describe the process the applicant will use to evaluate its internal ability (capacity, infrastructure and practices) regularly against its mission, vision and organizational goals
- Describe the applicant's framework(s) for addressing any needs for improvement if falling short of its mission, organizational goals or strategic plan

**Measure A.10 - Authorizer High Quality Authorizing Dissemination:** *The applicant plans to disseminate best authorizing practices and/or assist other authorizers in high quality authorizing.*

**Guiding Questions:**

- Describe the applicant's process to share best practices and/or provide assistance to other authorizers to promote high quality authorizing
- Describe the applicant's intent to engage with other professionals (such as state or national associations) in order to improve the authorizing community of practice in the state including sharing best practices and/or providing technical assistance to other authorizers

**Measure A.11 - Authorizer Compliance to Responsibilities Stated in Statute:** *The applicant intends to comply with reporting, submissions and deadlines set forth in Minnesota Statute.*

**Guiding Question:**

- Describe the applicant's internal process which will ensure compliance with reporting, submissions and deadlines set forth in Minnesota Statute

**Part B Measures: Authorizer Processes and Decision Making**

The purpose of Part B is for the applicant to describe its standards, practices and processes for determining high stakes decisions regarding a charter school's academic, operation and financial performance. This portion of the application directly aligns with Part B performance measures in MAPES.

Provide a narrative response for each Part B measure and include attachments that address the applicant's processes and decision making.

**Measure B.1 - New Charter School Decisions:** *The applicant has clear and comprehensive approval criteria and process standards to rigorously evaluate new charter school proposals. The applicant outlines new charter school decision-making processes that will promote the growth of high quality charter schools.*

**Guiding Questions:**

- Submit comprehensive new charter school application, instructions, evaluative criteria, procedures, timelines and review process that address the following elements:
  - The school's developers
  - Mission/Vision
  - Need/Demand
  - Primary statutory purpose of improving all pupil learning and all student achievement ([Minnesota Statutes, section 124E.01, Subdivision 1](#)) and how the school will report the implementation of it to the applicant
  - Additional purpose(s) and how the school will report the implementation of said purpose(s) to the applicant
  - A charter school must design its programs to at least meet the outcomes adopted by the commissioner for public school students, including world's best workforce goals under section [120B.11, subdivision 1](#). In the absence of the commissioner's



requirements governing state standards and benchmarks, the school must meet the outcomes contained in the contract with the authorizer. The achievement levels of the outcomes contained in the contract may exceed the achievement levels of any outcomes adopted by the commissioner for public school students. ([Minnesota Statutes, section 124E.10, Subdivision 1\(c\)](#))

- Academic plan: description of the school program, specific academic and nonacademic outcomes that students must achieve, educational philosophy and approach, school culture, curriculum and instruction, assessment and services for special populations
  - Operational plan: governance and management structure, administration, human resource recruitment and development, student recruitment and enrollment, admission policy, school calendar, parent and community involvement, operational outcomes and compliance with applicable laws and regulations, facilities and location
  - Financial plan: short and long-term financial projections, budget(s), business management procedures, financial outcomes and facility planning
  - A “statement of assurances” of legal compliance prescribed by the commissioner
  - Any other information the authorizer requests
- Develop the applicant’s review process including clear and transparent procedures and rigorous criteria to evaluate new charter school applications
  - Describe the new charter school application process timeline consistent with statutory deadlines per [Minnesota Statutes, section 124E.06](#)
  - Ensure the new charter school application criteria is consistent with the applicant’s performance standards/framework as described in *B.4: Performance Standards* (below)

**Advanced Guiding Question:**

- Identify how the applicant’s new charter school application process is designed to promote high quality charter schools and align with national quality authorizing principles and standards

**Measure B.2 - Interim Accountability Decisions (i.e. site/grade level expansions, official early learning program(s) recognition, ready to open and change in authorizer):** *The applicant has clear and comprehensive approval criteria and process standards to rigorously evaluate school opening decisions as well as proposals of existing charter school expansion requests and interim changes. The applicant outlines interim accountability decision-making processes that will promote the growth of high quality charter schools.*

**Guiding Questions:**

- For each interim accountability decision below, submit comprehensive application instructions, evaluative criteria, procedures, timelines and review processes that are aligned with statute and includes academic, operational and financial conditions upon which the applicant approves or denies:
  - Adding grades or sites per [Minnesota Statutes, section 124E.06, Subdivision 5](#)
  - Official early learning program(s) recognition per [Minnesota Statutes, section 124E.06, Subdivision 3\(b\)](#) and [Minnesota Statutes, sections 121A.16 to 121A.19](#)
  - Change in authorizer requests per [Minnesota Statutes, section 124E.10, Subdivision 5](#)
  - Ready to open per [Minnesota Statutes, section 124E.06, Subdivision 3\(h\)](#)

*Note: Please provide a response for **each** accountability decision that reflects its unique requirements.*

**Advanced Guiding Question:**

- Identify how the interim accountability decision-making processes are designed to promote high quality charter schools and align with national quality authorizing principles and standards

**Measure B.3 - Contract Term, Negotiation and Execution:** *The applicant has contracts that clearly define material terms and rights and responsibilities of the school and the authorizer.*

**Guiding Questions:**

- Submit a charter contract template (See [Charter Contract Guidance](#) on the MDE website) that meets the following elements:
  - **All** current statutory requirements per [Minnesota Statutes, section 124E.10, Subdivision 1\(a-b\) and 3\(c\)](#)
  - Clearly state the rights and responsibilities of the school and the authorizer
- Describe a plan to establish contract outcomes/goals that are strategic, specific, measurable and time-bound
- Describe the process for how the applicant's new charter school contract(s) will be completed within 45 business days of the commissioner's approval of the applicant's affidavit and the applicant will submit to the commissioner a copy of the signed contract within 10 business days of its execution
- Describe how existing contract(s) will be fully executed no later than the first date of the renewal period and submitted to the commissioner within 10 business days of its execution
- Describe how contract(s) will be amended for material contract changes, when applicable, and submitted to the commissioner within 10 business days of its execution

**Advanced Guiding Question:**

- Identify how the applicant's contract term, negotiation and execution decision-making processes are designed to promote high quality charter schools and align with national quality authorizing principles and standards

**Measure B.4 - Performance Standards:** *The applicant has a performance framework under which it executes contracts with clear, measurable and attainable performance standards.*

**Guiding Questions:**

- Develop a performance framework addressing the following elements:
  - States the primary purpose of the charter schools in its portfolio is to improve all pupil learning and all student achievement and identifies additional purposes per [Minnesota Statutes, section 124E.01, Subdivision 1](#), [Minnesota Statutes, section 124E.10, Subdivisions 1\(a\)\(1\) and 1\(a\)\(2\)](#).
  - The performance framework defines clear, measurable and attainable academic, operational and financial performance standards for all schools in its portfolio per [Minnesota Statutes, section 124E.10](#) and consequences for meeting or not meeting performance standards
  - The performance framework is designed to at least meet the outcomes adopted by the commissioner for public school students, including world's best workforce goals under [section 120B.11, Subdivision 1](#) per [Minnesota Statutes, section 124E.10, Subdivision 1\(c\)](#)
    - Commissioner's outcomes for public school students are the five goals of World's Best Workforce:
      - All children are ready for school
      - All third-graders can read at grade level
      - All racial and economic achievement gaps between students are closed
      - All students are ready for career and college
      - All students graduate from high school

**Advanced Guiding Question:**

- Identify how the performance framework is designed to promote high quality charter schools and align with national quality authorizing principles and standards

**Measure B.5 - Authorizer's Processes for Ongoing Oversight of the Portfolio of Charter Schools:** *The applicant has processes to monitor and oversee the schools in its portfolio in the areas of academic, operational and financial performance.*

**Guiding Questions:**

- Describe the criteria, processes and procedures applicant will use to monitor and evaluate the fiscal, operational and academic performance, consistent with Subdivision 3, paragraphs (a) and (b) per [Minnesota Statutes, section 124E.10, Subdivision 1\(a\)\(7\)](#)
- Describe the charter schools' required academic, financial and operational reporting to the applicant
- Describe an oversight plan that clearly establishes the criteria, processes and procedures the applicant will use to evaluate performance and monitor compliance, ensure school autonomy and protect student rights
- Describe how the applicant's ongoing oversight informs its standards and processes for intervention, termination and renewal decisions for its portfolio of charter schools (i.e. performance measures B.6 and B.9)

**Advanced Guiding Question:**

- Identify how the applicant's ongoing oversight of the portfolio of charter schools is designed to promote high quality charter schools and align with national quality authorizing principles and standards

**Measure B.6 - Authorizer's Standards and Processes for Interventions, Corrective Action and Response to Complaints:** *The applicant has clear and comprehensive standards and processes to address complaints, interventions and corrective action.*

**Guiding Questions:**

- Describe the standards, procedures and processes to address and resolve complaints, including forms if applicable
- Describe the standards, procedures and processes for intervention and corrective action
- Describe how the applicant's standards and processes for intervention, corrective action and response to complaints align with its ongoing oversight of the portfolio of charter schools (i.e. performance measure B.5)

**Advanced Guiding Question:**

- Identify how the applicant's standards and processes for interventions, corrective action and response to complaints are designed to promote high quality charter schools and align with national quality authorizing principles and standards

**Measure B.7 - Charter School Support, Development and Technical Assistance:** *The applicant has an established process to support its portfolio of charter schools through intentional assistance and development offerings.*

**Guiding Question:**

- Describe the plan to provide proactive support, development and technical assistance to charter schools
- Describe how the support, development and technical assistance will be provided in a variety of areas and in a manner to preserve school autonomy

**Measure B.8 - High Quality Charter School Replication and Dissemination of Best School Practices:** *The applicant has an established process to promote, within its portfolio, the model replication and dissemination of best practices of high performing charter schools.*

**Guiding Question:**

- Describe a clear plan for successful model replication and dissemination of best practices of high performing charter schools, including how models/practices will be identified

**Measure B.9 - Charter School Renewal or Termination Decisions:** *The applicant has clear and comprehensive standards and processes to make high stakes renewal and termination decisions. The applicant outlines charter school renewal and termination decision standards and processes that will promote the growth of high quality charter schools.*

**Guiding Questions:**

- Describe comprehensive evaluative standards, procedures, timelines and review processes to evaluate a school's academic, operational and financial performance for high-stakes merit-based renewal and termination decisions consistent with [Minnesota Statutes, section 124E.10, Subdivisions 1\(a\)\(7\), 1\(a\)\(8\), 1\(a\)\(13\), 1\(a\)\(14\), 1\(c\) and Subdivision 3\(a\)](#) and include the following:
  - The criteria, processes, and procedures the authorizer will use to monitor and evaluate the fiscal, operational, and academic performance, consistent with subdivision 3, paragraphs (a) and (b) per [Minnesota Statutes, section 124E.10, Subdivision 1\(a\)\(7\)](#)
  - The formal written performance evaluation that is a prerequisite for reviewing a charter contract under subdivision 3 per [Minnesota Statutes, section 124E.10, Subdivision 1\(a\)\(8\)](#)
  - The specific conditions for contract renewal that identify the performance of all students under the primary purpose of [section 124E.01, subdivision 1](#), as the most important factor in determining whether to renew the contract per [Minnesota Statutes, section 124E.10, Subdivision 1\(a\)\(13\)](#)
  - The additional purposes under [section 124E.01, subdivision 1](#), and related performance obligations under clause (7) contained in the charter contract as additional factors in determining whether to renew the contract per [Minnesota Statutes, section 124E.10, Subdivision 1\(a\)\(14\)](#)
  - Standards and process to evaluate the school's performance to at least meet the outcomes adopted by the commissioner for public school students, including world's best workforce goals under [section 120B.11, Subdivision 1](#) per [Minnesota Statutes, section 124E.10, Subdivision 1\(c\)](#)
  - Standards for determining consequences for meeting or not meeting performance standards
  - The authorizer shall provide a formal written evaluation of the school's performance before the authorizer renews the charter contract per [Minnesota Statutes, section 124E.10, Subdivision 3\(a\)](#)
- Describe the school closure plan and describe the applicant's role in the orderly closure of a school in the event of revocation, non-renewal or voluntary relinquishment of the charter per [Minnesota Statutes, section 124E.10, Subdivision 1\(b\), Subdivision 4 and Subdivision 6](#)

**Advanced Guiding Question:**

- Identify how the applicant's charter school renewal and termination decision-making processes are designed to promote high quality charter schools and align with national quality authorizing principles and standards

## Application Submission Instructions

Applicants are to submit one electronic copy of the application, including attachments, as PDF documents in an organized fashion including page numbers. **Please do not send unsolicited information to the application following its initial submission.** Structure your submission as follows:

- Assurances – Form 1
- Applicant Contacts – Form 2
- Part A: Narrative responding to each performance measure (A.1 - A.11) **as one PDF**
- Part B: Narrative responding to each performance measure (B.1 - B.9) **as one PDF**
- Attachments clearly labeled with titles that are specific to the document (e.g. Charter School Manual) as separate PDFs

### Where to Submit the Application

Email electronic copies to [mde.charterschools@state.mn.us](mailto:mde.charterschools@state.mn.us). Hard copies may be dropped off at MDE by 4:30 p.m. Central Standard Time or mailed to MDE:

Minnesota Department of Education  
Attn: Charter Center  
1500 Highway 36 West  
Roseville, MN 55113

### Technical Assistance

Please contact Paula Higgins at (651)582-8315 or [paula.higgins@state.mn.us](mailto:paula.higgins@state.mn.us) for technical assistance or questions.

### Disposition of Responses

Once an application is received, MDE may release to the public the name and mailing address of the applicant. All materials submitted will become property of the State of Minnesota and will become public record in accordance with [Minnesota Statutes, Chapter 13](#), after the evaluation process is completed.

The evaluation process is complete when the commissioner has notified the applicant of final approval or disapproval. If the applicant submits information that it believes to be trade-secret materials as defined by the Minnesota Government Data Practices Act, [Minnesota Statutes, section 13.37](#), the responder must:

- Clearly mark all trade secret materials in its response at the time the response is submitted;
- Include a statement justifying the trade-secret designation for each item; and
- Defend any action seeking release of the materials it believes to be a trade secret, and indemnify and hold harmless the state, its agents and employees, from any judgments or damages awarded against the state in favor of the party requesting the materials, and any and all costs connected with that defense. This indemnification survives the state's award of a contract. In submitting a response to this request for proposals, the responder agrees that this indemnification survives as long as the trade-secret materials are in possession of the state.

### Applicant Interview

The purpose of the applicant interview is to gain clarity on questions or concerns that arise from the review of the application. In addition, it provides an opportunity for the applicant to clearly articulate the overall

authorizing plan, including the philosophy, policies, processes and short and long-term plans. Individuals relevant to the applicant's authorizing duties will be interviewed. The interview will be conducted at MDE.

The communication and implementation of the applicant's proposed practices are of vital importance to charter school authorizing. Following the desk review of Parts A and B, MDE will generate interview questions to reflect points of interest and areas for clarification or concerns that emerged from the review process.

### **Interview Evaluation Criteria**

The interview evaluates the applicant's **understanding of and ability to clearly articulate** the proposed authorizing plans. This includes displaying clarity and comprehension as well as a commitment to becoming an effective authorizer.

- **Clarity:** The applicant's responses are precise, effective, thoughtful and direct
- **Comprehension:** The applicant is well-informed and demonstrates comprehensive knowledge of the written application
- **Commitment:** The applicant conveys a genuine interest and commitment to becoming a quality authorizer

### **New Authorizer Approval Process and Rating Scale**

The authorizer approval process is designed to assess how well an applicant proposes to fulfill the role of a charter school authorizer, based on the requirements set out in [Minnesota Statutes, Chapter 124E](#). Each element of the authorizer application directly aligns with the performance measures of MAPES.

Reviewers evaluate authorizer applications according to the same rating scale used in MAPES to evaluate existing authorizers at their five year benchmark. The scale allows for specificity, differentiation of performance, and precision in identifying strengths and weaknesses of proposed authorizer practices. ***Please note that, in order to be an approved authorizer, an applicant must receive a satisfactory rating or higher on all rubric items.***

#### **4 – Exemplary:**

Content meets the minimum statutory requirements AND does an exceptional job of meeting MDE's standards for quality authorizing. Has potential to warrant notice from, and emulation by, other authorizers.

#### **3 – Commendable:**

Content meets the minimum statutory requirements AND exceeds standards in meeting MDE's standards for quality authorizing.

#### **2 – Satisfactory:**

Content meets the minimum statutory requirements AND meets minimum standards of MDE's standards for quality authorizing.

#### **1 – Approaching Satisfactory:**

Content does not meet the minimum statutory requirements OR improvement is needed in order to meet MDE's standards for quality authorizing.

#### **0 – Unsatisfactory or Incomplete:**

Content is either lacking altogether or falls well below the minimum statutory requirements for authorizing AND/OR MDE's standards for quality authorizing.

### **Response to Deficiencies**

Per [Minnesota Statutes, section 124E.05, Subdivision 3\(a\)](#), *The commissioner must approve or disapprove the application within 45 business days of the deadline for that application period. If the commissioner*



*disapproves the application, the commissioner must notify the applicant of the specific deficiencies in writing and the applicant then has 20 business days to address the deficiencies to the commissioner's satisfaction.*

### **Submission to Demonstrate Satisfactory Remedy of Deficiencies**

If an application is initially disapproved, the commissioner's notice will include reviewer feedback identifying any content that has been determined to be unsatisfactory. Per [Minnesota Statutes, section 124E.05, Subdivision 3\(a\)](#), *"...if the commissioner disapproves the application, the commissioner must notify the applicant of the specific deficiencies in writing and the applicant then has 20 business days to address the deficiencies to the commissioner's satisfaction. After the 20 business days expire, the commissioner has 15 business days to make a final decision to approve or disapprove the application."*

### **Final Decisions**

Once an applicant's response to deficiencies is received, the commissioner has 15 business days to make a final decision. Per [Minnesota Statutes, section 124E.05, Subdivision 3\(a\)](#), *"Failing to address the deficiencies to the commissioner's satisfaction makes an applicant ineligible to be an authorizer."*

**Approval** - An approval by the commissioner means that MDE has found that the application meets the statutory requirements for authorizing and MDE's standards for quality authorizing.

**Disapproval** - A disapproval by the commissioner means that MDE has found that, in whole or in part, the application, including proposed practices, does not meet the statutory requirements for authorizing and/or MDE's standards for quality authorizing.

## Intent to Apply Notice and Applicant Eligibility Certification

Name of Applicant (intended applicant):

Name of Applicant's Primary Contact:

Applicant's Primary Contact Information (include email, mailing address and phone number):

Directions: Check the appropriate box ([Minn. Stat § 124E.05, Subd. 1](#)):

Independent school district school board, intermediate school district board, or education district organized under Minnesota Statutes, sections 123A.15 to 123A.19.

Charitable organization under section 501(c)(3) of the Internal Revenue Code of 1986 (exclusions apply; see Minn. Stat § 124E.05, Subd. 1 for complete information.)

**Include the following documentation immediately after this form; clearly label each attachment:**

**Attachment A:** Documentation of the applicant's *current* status under section 501(c)(3) of the Internal Revenue Code of 1986. TIP: Search the [IRS website](#), print results screen with date.

**Attachment B:** Documentation to evidence the applicant's *current* membership with the [Minnesota Council of Nonprofits](#) or the [Minnesota Council on Foundations](#) (membership must be active when the affidavit is submitted).

**Attachment C:** Documentation of the applicant's "active" registration with the Office of the Minnesota Attorney General when the affidavit is submitted to MDE. TIP: Search the [Attorney General's website](#), print results screen with date.

**Attachment D:** Documentation to evidence the organization has been incorporated in the state of Minnesota and has been operating continuously as a nonprofit for at least five years from the date of affidavit submission. TIP: Search the [Minnesota Business and Lien System](#) on the Minnesota Secretary of State's website, print results screen with date.

**Attachment E:** Documentation to verify the organization does not operate a charter school. TIP: Include a signed letter, on organizational letterhead, to verify this requirement.

Institution of higher education; check the authorizer category the organization meets:

Minnesota private college that grants two- or four-year degrees and is registered with the Minnesota Office of Higher Education under Minnesota Statutes, section 136A;

Community college, state university, or technical college, governed by the Board of Trustees of the Minnesota State Colleges and Universities; or

The University of Minnesota.

Chambers of Commerce, Boards of Trade, Exchanges – a nonprofit corporation subject to chapter 317A, described in section 317A.905, and exempt from federal income tax under section 501(c)(6) of the Internal Revenue Code of 1986, may authorize one or more charter schools if the charter school has operated for at least three years under a different authorizer and if the nonprofit corporation has existed for at least 25 years.

**Include the following documentation immediately after this form; clearly label each attachment:**

**Attachment A:** Documentation of the applicant's *current* status under section 501(c)(6) of the Internal Revenue Code of 1986. TIP: Search the [IRS website](#), print results screen with date.

**Attachment B:** Documentation to evidence the organization has been incorporated in the state of Minnesota and has been operating continuously as a nonprofit for at least 25 years from the date of affidavit submission. TIP: Search the [Minnesota Business and Lien System](#) on the Minnesota Secretary of State's website, print results screen with date.

Single Purpose Authorizer (Check the authorizer category the organization meets below):

Charitable, nonsectarian organization under section 501(c)(3) of the Internal Revenue Code under section 317A as a corporation with no members

Charitable organization under section 501(c)(3) of the Internal Revenue Code under section 322B.975 as a nonprofit limited liability company for the sole purpose of chartering schools

**Include the following documentation immediately after this form; clearly label each attachment:**



**Attachment A:** Documentation of the applicant's *current* status under section 501(c)(3) of the Internal Revenue Code of 1986. TIP: Search the [IRS website](#), print results screen with date.

**Attachment B:** Documentation of the applicant's "active" registration with the Office of the Minnesota Attorney General when the affidavit is submitted to MDE. TIP: Search the [Attorney General's website](#), print results screen with date.

**Please note:** *Single purpose authorizers "shall consider and approve charter school applications using the criteria under [section 124E.06](#) and shall not limit the applications it solicits, considers, or approves to any single curriculum, learning program, or method" ([Minn. Stat., § 124E.05, Subd. 1\(h\)](#)).*

## Assurances – Form 1

**NAME OF APPLICANT:**

### LEGALLY BINDING

By signing this form, I/we acknowledge that I/we am/are aware of authorizer responsibilities in their entirety as stated within the application materials and shall comply with all applicable federal, state and local laws, ordinances, rules, regulations and provisions stated therein, should the organization be approved to authorize charter schools in Minnesota. I/we hereby assure and agree to comply with all conditions of the approved application and submit required documents and certifications as required, should the organization be approved as an authorizer.

### **Applicant's Identified Official with Authority**

*(Provide the name, title and signature of person with legal authority to certify on behalf of the authorizer.)*

**Signature:**

**Date:**

**Name:**

**Title:**

### **Applicant's Primary Authorizing Contact (if different from above)**

**Signature:**

**Date:**

**Name:**

**Title:**

## Applicant Contacts – Form 2

**Name of Applicant:**

Please list individuals involved in the development of this application. Please add rows if necessary to include all individuals involved in this application.

**Name**

**Role/Position**

**Email Address**



**2017**

***School District Application to Authorize Charter Schools in Minnesota***

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## Introduction

A charter school authorizer is a public oversight organization approved by the state to authorize one or more charter schools. An authorizer's fundamental role is to hold a school accountable for the terms of its performance contract – the "charter." The primary purpose of Minnesota charter schools is to improve all pupil learning and all student achievement ([Minnesota Statutes, section 124E.01, Subdivision 1](#)). Through effective oversight, authorizers hold charter schools accountable for realizing this purpose. Authorizer responsibilities include approving, monitoring, evaluating, renewing and, if necessary, closing charter schools when contract terms are not met. To determine an organization's eligibility to authorize one or more charter schools in Minnesota, please review [Minnesota Statutes, section 124E.05, Subdivision 1](#).

This document provides guidance to eligible school districts who are interested in becoming an approved charter school authorizer in Minnesota. Per [Minnesota Statutes, section 124E.05, Subdivision 3\(a\)](#), *An eligible authorizer under this section must apply to the commissioner for approval as an authorizer before submitting any affidavit to the commissioner to charter a school. The application for approval as a charter school authorizer must show the applicant's ability to implement the procedures and satisfy the criteria for chartering a school under this chapter. A list of approved authorizers is available on MDE's website.*

The authorizer standards and expectations in this application are aligned with the performance measures, indicators and specifications in the [Minnesota Authorizer Performance Evaluation System \(MAPES\)](#). MAPES was developed per [Minnesota Statutes, section 124E.05, Subdivision 5](#), and is used to review an authorizer's performance every five (5) years.

As school districts seek to become approved authorizers of charter schools in Minnesota, they join a history of school choice, autonomy and innovation. MDE applauds those who apply to become approved authorizers as the application itself demonstrates commitment to the students of Minnesota and to improved outcomes for students and high-performing charter schools.

## Application Timeline and Process

Key stages and dates in the new authorizer application review process are:

| Stage  | Date   |
|--|--|
| Intent to Apply Notice due to MDE                      | Submitted at any time  |
| Information Session                                    | Two hour meeting is scheduled after an Intent to Apply Notice is received to review application instructions   |
| Applicant Submits Application to MDE                   | Submitted at any time  |
| Applicant Interviews                                   | To be determined   |
| Initial Approval/Disapproval Decision and Notification | 45 business days from submission date  |
| Response to Deficiencies                               | 20 business days from notice of deficiencies   |
| Final Decisions  | The commissioner will notify applicant of final approval or final disapproval within 15 business days after receiving the response to the deficiencies |

## Intent to Apply Notice and Information Session

Applicants who are interested in learning more about the *School District Application to Authorizer of Charter Schools in Minnesota*, are encouraged to submit an *Intent to Apply Notice* via email to [mde.charterschools@state.mn.us](mailto:mde.charterschools@state.mn.us). Please use the form provided in this instruction document. Once the *Intent to Apply Notice* is received, MDE will contact applicants to schedule a two hour meeting to review the components of this application, answer questions and provide technical assistance.

## New Authorizer Application Instructions

The authorizer application standards and expectations in this application are aligned with the performance measures, indicators and specifications in the [Minnesota Authorizer Performance Evaluation System \(MAPES\)](#). MAPES was developed per [Minnesota Statutes, section 124E.05, Subdivision 5](#), and is used to review an authorizer's performance every five (5) years.

The applicant provides a narrative response for Part A and Part B questions. The narrative response should clearly respond to the guiding question(s) and essential element(s) of the measure. The narrative should include measure headings organized to the narrative response. An attachment may be used to provide additional information. Clearly identify the attachment and reference the page(s), section, etc. where the information is located within the attachment.

**Please Note:** It is not necessary to restate information in the application. Specifically, we ask that you do not repeat information in the narrative that is provided in an attachment. For example, if a performance framework is included as an attachment, please do not duplicate information in the narrative.

### Definitions:

**Measure:** Indicates title of measure and provides a guiding question(s); the measures align with MAPES' performance measures

**Guiding Question(s):** Must clearly address guiding questions(s) in narrative

**Advanced Guiding Question(s) (optional):** Shows applicant is addressing high quality authorizing standards and striving for commendable and exemplary status; should be clearly addressed in response to the measure

## Part A: Authorizer Capacity and Infrastructure

The purpose of Part A is to provide applicants an opportunity to demonstrate their capacity and commitment to further the purposes of [Minnesota Statutes, Chapter 124E](#). This portion of the application directly aligns with Part A performance measures in MAPES.

Provide a narrative response for each Part A measure and include attachments, when applicable, that address the applicant's capacity and infrastructure.

**Please note:** Applicants that are school districts may choose to provide assurances promising to comply with selected measures instead of a narrative response in alignment with [Minnesota Statutes, section 124E.05, Subdivision 4\(b\)](#). Please see the Form 3 for the applicable measures as set forth below.

**Measure A.1 - Authorizer Mission:** *The applicant has a clear and compelling mission for charter school authorizing.*

### Guiding Questions:

- Identify the applicant's clear and compelling mission and indicate how it fully aligns with [Minnesota Statutes, Chapter 124E](#)
- Describe how authorizing charter schools realizes the applicant's mission

\*\* Applicants that are school districts may satisfy A.1 requirements by submitting a written assurance (Form 3) promising to comply with [Minnesota Statutes, section 124E.05, Subdivision 4\(b\)](#).

**Measure A.2 - Authorizer Vision and Organizational Goals:** *The applicant has a comprehensive vision for charter school authorizing with clear organizational goals and time frames for achievement that are aligned with the purposes of Minnesota law.*

**Guiding Questions:**

- Identify the applicant's comprehensive vision for charter school authorizing and indicate how it fully aligns with [Minnesota Statutes, Chapter 124E](#).
- Identify the applicant's measurable organizational goals that align with the applicant's chartering vision including the criteria and timeframe for achievement

**Advanced Guiding Questions:**

- Explain how the applicant will regularly evaluate its work against its chartering vision and organizational goals
- Explain how the applicant will implement improvement plans if falling short of its vision and organization goals

**Measure A.3 - Authorizer Structure of Operations and Measure A.4 - Authorizer Staff Expertise:** *The applicant has a clear structure of duties and responsibilities and sufficient resources to effectively oversee its portfolio of charter schools. The applicant has appropriate experience, expertise and skills to sufficiently oversee the portfolio of charter schools.*

**Definitions:**

- **Expertise** is defined as having knowledge, education, training, etc. in the areas of charter schools, curriculum, instruction, management, facilities, finance and law
- **Experience** is defined as length of time working in the areas of charter schools, curriculum, instruction, management, facilities, finance and law
- **Skills** is defined as effective application of experience and expertise in the areas of charter schools, curriculum, instruction, management, facilities, finance and law

**Guiding Questions:**

- Describe the capacity of the applicant to serve as an authorizer, including the positions (e.g. employees, contractors, volunteers; both paid and unpaid positions) allocated to authorizing duties, the qualifications for those positions (expertise, experience and skills in charter schools, curriculum, instruction, management, facilities, finance and law, the full-time equivalencies of those positions and the financial resources available to fund the positions
- Describe how the applicant will manage and safeguard information, data and records related to authorizing
- Provide an organizational chart that shows clear lines of reporting and authority/decision-making and, if applicable, showing projected organizational changes due to proposed expansion over the five-year term

\*\* Applicants that are school districts may satisfy A.3 and A.4 requirements by submitting a written assurance (Form 3) promising to comply with [Minnesota Statutes, section 124E.05, Subdivision 4\(b\)](#).

**Measure A.5 - Authorizer Capacity and Skill Development of Leadership and Authorizing Staff:** *The applicant has a plan to build the knowledge and skill base of its authorizing leadership and staff through*



*professional development. The applicant has a plan to provide professional development aligned with its operations, vision and goals for overseeing its portfolio of charter schools.*

**Guiding Questions:**

- Describe the applicant's plan to offer professional development to authorizing leadership and staff
- Describe the frequency and nature of potential professional development as well as personnel expected to attend
- Describe how professional development will align with the applicant's operations, vision and goals for its portfolio of charter schools

**Advanced Guiding Question:**

- Describe how professional development will be measured, evaluated and customized to meet the needs of the authorizing leadership and staff

\*\* Applicants that are school districts may satisfy A.5 requirements by submitting a written assurance (Form 3) promising to comply with [Minnesota Statutes, section 124E.05, Subdivision 4\(b\)](#).

**Measure A.6 - Authorizer Operational Budget for Authorizing the Portfolio of Charter Schools:** *The applicant has a plan to allocate resources commensurate with its stated budget, needs and responsibilities of authorizing the portfolio of charter schools.*

**Guiding Questions:**

- Include the applicant's anticipated five-year budget (for example, FY 2017– FY 2022) outlining the following:
  - Anticipated revenue sources such as fees collected annually from schools and additional funds from outside sources
  - Anticipated expenditures such as staff, travel, consultants, office costs (e.g. equipment, supplies), etc.
  - Anticipated staff expenditures and personnel budget increases in relation to portfolio growth \*\* Applicants that are school districts may satisfy this requirement by submitting a written assurance (Form 3) promising to comply with [Minnesota Statutes, section 124E.05, Subdivision 4\(b\)](#).
- Provide the target number and size of schools for the portfolio of charter schools for a five-year period, **Important note:** this establishes the maximum portfolio size for the applicant's five-year term

**Advanced Guiding Question:**

- Describe how the applicant's budget shows resource allocations dedicated to achieving nationally recognized quality authorizing standards

**Measure A.7 - Authorizer Operational Conflicts of Interest:** *The applicant implements a clear policy to address conflicts of interest in all decision-making processes concerning the portfolio of charter schools.*

**Guiding Questions:**

- Include the applicant's policy to address conflicts of interest in all decision-making processes concerning the portfolio of charter schools
- Describe the process and procedures for implementing and executing the applicant's conflict of interest policy to avoid conflicts of interest that might affect the applicant's capacity to make objective, merit-based application and renewal decisions and avoid decisions and interventions that hold the applicant accountable for a school's performance

\*\* Applicants that are school districts may satisfy A.7 requirements by submitting a written assurance (Form 3) promising to comply with [Minnesota Statutes, section 124E.05, Subdivision 4\(b\)](#).

**Measure A.8 - Ensuring Autonomy of the Schools in the Portfolio:** *The applicant implements a policy to preserve and support the essential autonomies of the portfolio of charter schools.*

**Guiding Questions:**

- Include the applicant's policy to ensure school autonomy and indicate how it fully aligns with [Minnesota Statutes, Chapter 124E](#)
- Describe how the applicant's policy on school autonomy establishes and recognizes the school's authority over academic, operational and financial needs and respects the school's authority over the schools' day-to-day operations.
- Describe the process and procedures for implementing and executing the applicant's policy to ensure school autonomy
- Describe how the applicant will hold schools accountable for outcomes rather than processes and operations

**Advanced Guiding Question:**

- The applicant describes how its policy to ensure school autonomy aligns with nationally recognized quality authorizing principles and standards

**Measure A.9 - Authorizer Self-Evaluation of Capacity, Infrastructure and Practices:** *The applicant plans to self-evaluate its internal ability (capacity, infrastructure and practices) to oversee the portfolio of charter schools.*

**Guiding Questions:**

- Describe the applicant's plan to regularly review its internal ability to oversee its portfolio of charter schools
- Describe the applicant's process to implement continuous improvement plans which will result in more effective authorizing practices

**Advanced Guiding Questions:**

- Describe the process the applicant will use to evaluate its internal ability (capacity, infrastructure and practices) regularly against its mission, vision and organizational goals
- Describe the applicant's framework(s) for addressing any needs for improvement if falling short of its mission, organizational goals or strategic plan

**Measure A.10 - Authorizer High Quality Authorizing Dissemination:** *The applicant plans to disseminate best authorizing practices and/or assist other authorizers in high quality authorizing.*

**Guiding Questions:**

- Describe the applicant's process to share best practices and/or provide assistance to other authorizers to promote high quality authorizing
- Describe the applicant's intent to engage with other professionals (such as state or national associations) in order to improve the authorizing community of practice in the state including sharing best practices and/or providing technical assistance to other authorizers

**Measure A.11 - Authorizer Compliance to Responsibilities Stated in Statute:** *The applicant intends to comply with reporting, submissions and deadlines set forth in Minnesota Statute.*

**Guiding Question:**

- Describe the applicant's internal process which will ensure compliance with reporting, submissions and deadlines set forth in Minnesota Statute

**Part B Measures: Authorizer Processes and Decision Making**

The purpose of Part B is for the applicant to describe its standards, practices and processes for determining high stakes decisions regarding a charter school's academic, operation and financial performance. This portion of the application directly aligns with Part B performance measures in MAPES.

Provide a narrative response for each Part B measure and include attachments that address the applicant's processes and decision making.

**Measure B.1 - New Charter School Decisions:** *The applicant has clear and comprehensive approval criteria and process standards to rigorously evaluate new charter school proposals. The applicant outlines new charter school decision-making processes that will promote the growth of high quality charter schools.*

**Guiding Questions:**

- Submit comprehensive new charter school application, instructions, evaluative criteria, procedures, timelines and review process that address the following elements:
  - The school's developers
  - Mission/Vision
  - Need/Demand
  - Primary statutory purpose of improving all pupil learning and all student achievement ([Minnesota Statutes, section 124E.01, Subdivision 1](#)) and how the school will report the implementation of it to the applicant
  - Additional purpose(s) and how the school will report the implementation of said purpose(s) to the applicant
  - A charter school must design its programs to at least meet the outcomes adopted by the commissioner for public school students, including world's best workforce goals under section [120B.11, subdivision 1](#). In the absence of the commissioner's requirements governing state standards and benchmarks, the school must meet the outcomes contained in the contract with the authorizer. The achievement levels of the outcomes contained in the contract may exceed the achievement levels of any outcomes adopted by the commissioner for public school students. ([Minnesota Statutes, section 124E.10, Subdivision 1\(c\)](#))
  - Academic plan: description of the school program, specific academic and nonacademic outcomes that students must achieve, educational philosophy and approach, school culture, curriculum and instruction, assessment and services for special populations
  - Operational plan: governance and management structure, administration, human resource recruitment and development, student recruitment and enrollment, admission policy, school calendar, parent and community involvement, operational outcomes and compliance with applicable laws and regulations, facilities and location
  - Financial plan: short and long-term financial projections, budget(s), business management procedures, financial outcomes and facility planning
  - A "statement of assurances" of legal compliance prescribed by the commissioner
  - Any other information the authorizer requests
- Develop the applicant's review process including clear and transparent procedures and rigorous criteria to evaluate new charter school applications
- Describe the new charter school application process timeline consistent with statutory deadlines per [Minnesota Statutes, section 124E.06](#)
- Ensure the new charter school application criteria is consistent with the applicant's performance standards/framework as described in *B.4: Performance Standards* (below)

**Advanced Guiding Question:**

- Identify how the applicant's new charter school application process is designed to promote high quality charter schools and align with national quality authorizing principles and standards

**Measure B.2 - Interim Accountability Decisions (i.e. site/grade level expansions, official early learning program(s) recognition, ready to open and change in authorizer):** *The applicant has clear and comprehensive approval criteria and process standards to rigorously evaluate school opening decisions as*

well as proposals of existing charter school expansion requests and interim changes. The applicant outlines interim accountability decision-making processes that will promote the growth of high quality charter schools.

### Guiding Questions:

- For each interim accountability decision below, submit comprehensive application instructions, evaluative criteria, procedures, timelines and review processes that are aligned with statute and includes academic, operational and financial conditions upon which the applicant approves or denies:
  - Adding grades or sites per [Minnesota Statutes, section 124E.06, Subdivision 5](#)
  - Official early learning program(s) recognition per [Minnesota Statutes, section 124E.06, Subdivision 3\(b\)](#) and [Minnesota Statutes, sections 121A.16 to 121A.19](#)
  - Change in authorizer requests per [Minnesota Statutes, section 124E.10, Subdivision 5](#)
  - Ready to open per [Minnesota Statutes, section 124E.06, Subdivision 3\(h\)](#)

*Note: Please provide a response for **each** accountability decision that reflects its unique requirements.*

### Advanced Guiding Question:

- Identify how the interim accountability decision-making processes are designed to promote high quality charter schools and align with national quality authorizing principles and standards

**Measure B.3 - Contract Term, Negotiation and Execution:** *The applicant has contracts that clearly define material terms and rights and responsibilities of the school and the authorizer.*

### Guiding Questions:

- Submit a charter contract template (See [Charter Contract Guidance](#) on the MDE website) that meets the following elements:
  - **All** current statutory requirements per [Minnesota Statutes, section 124E.10, Subdivision 1\(a-b\) and 3\(c\)](#)
  - Clearly state the rights and responsibilities of the school and the authorizer
- Describe a plan to establish contract outcomes/goals that are strategic, specific, measurable and time-bound
- Describe the process for how the applicant's new charter school contract(s) will be completed within 45 business days of the commissioner's approval of the applicant's affidavit and the applicant will submit to the commissioner a copy of the signed contract within 10 business days of its execution
- Describe how existing contract(s) will be fully executed no later than the first date of the renewal period and submitted to the commissioner within 10 business days of its execution
- Describe how contract(s) will be amended for material contract changes, when applicable, and submitted to the commissioner within 10 business days of its execution

### Advanced Guiding Question:

- Identify how the applicant's contract term, negotiation and execution decision-making processes are designed to promote high quality charter schools and align with national quality authorizing principles and standards

**Measure B.4 - Performance Standards:** *The applicant has a performance framework under which it executes contracts with clear, measurable and attainable performance standards.*

### Guiding Questions:

- Develop a performance framework addressing the following elements:
  - States the primary purpose of the charter schools in its portfolio is to improve all pupil learning and all student achievement, and identifies additional purposes per [Minnesota](#)

[Statutes, section 124E.01, Subdivision 1](#), [Minnesota Statutes, section 124E.10, Subdivisions 1\(a\)\(1\) and 1\(a\)\(2\)](#).

- The performance framework defines clear, measurable and attainable academic, operational and financial performance standards for all schools in its portfolio per [Minnesota Statutes, section 124E.10](#) and consequences for meeting or not meeting performance standards
- The performance framework is designed to at least meet the outcomes adopted by the commissioner for public school students, including world's best workforce goals under [section 120B.11, Subdivision 1](#) per [Minnesota Statutes, section 124E.10, Subdivision 1\(c\)](#)
  - Commissioner's outcomes for public school students are the five goals of World's Best Workforce:
    - All children are ready for school
    - All third-graders can read at grade level
    - All racial and economic achievement gaps between students are closed
    - All students are ready for career and college
    - All students graduate from high school

**Advanced Guiding Question:**

- Identify how the performance framework is designed to promote high quality charter schools and align with national quality authorizing principles and standards

**Measure B.5 - Authorizer's Processes for Ongoing Oversight of the Portfolio of Charter Schools:** *The applicant has processes to monitor and oversee the schools in its portfolio in the areas of academic, operational and financial performance.*

**Guiding Questions:**

- Describe the criteria, processes and procedures applicant will use to monitor and evaluate the fiscal, operational and academic performance, consistent with Subdivision 3, paragraphs (a) and (b) per [Minnesota Statutes, section 124E.10, Subdivision 1\(a\)\(7\)](#)
- Describe the charter schools' required academic, financial and operational reporting to the applicant
- Describe an oversight plan that clearly establishes the criteria, processes and procedures the applicant will use to evaluate performance and monitor compliance, ensure school autonomy and protect student rights
- Describe how the applicant's ongoing oversight informs its standards and processes for intervention, termination and renewal decisions for its portfolio of charter schools (i.e. performance measures B.6 and B.9)

**Advanced Guiding Question:**

- Identify how the applicant's ongoing oversight of the portfolio of charter schools is designed to promote high quality charter schools and align with national quality authorizing principles and standards

**Measure B.6 - Authorizer's Standards and Processes for Interventions, Corrective Action and Response to Complaints:** *The applicant has clear and comprehensive standards and processes to address complaints, interventions and corrective action.*

**Guiding Questions:**

- Describe the standards, procedures and processes to address and resolve complaints, including forms if applicable
- Describe the standards, procedures and processes for intervention and corrective action

- Describe how the applicant's standards and processes for intervention, corrective action and response to complaints align with its ongoing oversight of the portfolio of charter schools (i.e. performance measure B.5)

**Advanced Guiding Question:**

- Identify how the applicant's standards and processes for interventions, corrective action and response to complaints are designed to promote high quality charter schools and align with national quality authorizing principles and standards

**Measure B.7 - Charter School Support, Development and Technical Assistance:** *The applicant has an established process to support its portfolio of charter schools through intentional assistance and development offerings.*

**Guiding Question:**

- Describe the plan to provide proactive support, development and technical assistance to charter schools
- Describe how the support, development and technical assistance will be provided in a variety of areas and in a manner to preserve school autonomy

**Measure B.8 - High Quality Charter School Replication and Dissemination of Best School Practices:** *The applicant has an established process to promote, within its portfolio, the model replication and dissemination of best practices of high performing charter schools.*

**Guiding Question:**

- Describe a clear plan for successful model replication and dissemination of best practices of high performing charter schools, including how models/practices will be identified

**Measure B.9 - Charter School Renewal or Termination Decisions:** *The applicant has clear and comprehensive standards and processes to make high stakes renewal and termination decisions. The applicant outlines charter school renewal and termination decision standards and processes that will promote the growth of high quality charter schools.*

**Guiding Questions:**

- Describe comprehensive evaluative standards, procedures, timelines and review processes to evaluate a school's academic, operational and financial performance for high-stakes merit-based renewal and termination decisions consistent with [Minnesota Statutes, section 124E.10, Subdivisions 1\(a\)\(7\), 1\(a\)\(8\), 1\(a\)\(13\), 1\(a\)\(14\), 1\(c\) and Subdivision 3\(a\)](#) and include the following:
  - The criteria, processes, and procedures the authorizer will use to monitor and evaluate the fiscal, operational, and academic performance, consistent with subdivision 3, paragraphs (a) and (b) per [Minnesota Statutes, section 124E.10, Subdivision 1\(a\)\(7\)](#)
  - The formal written performance evaluation that is a prerequisite for reviewing a charter contract under subdivision 3 per [Minnesota Statutes, section 124E.10, Subdivision 1\(a\)\(8\)](#)
  - The specific conditions for contract renewal that identify the performance of all students under the primary purpose of [section 124E.01, subdivision 1](#), as the most important factor in determining whether to renew the contract per [Minnesota Statutes, section 124E.10, Subdivision 1\(a\)\(13\)](#)
  - The additional purposes under [section 124E.01, subdivision 1](#), and related performance obligations under clause (7) contained in the charter contract as additional factors in determining whether to renew the contract per [Minnesota Statutes, section 124E.10, Subdivision 1\(a\)\(14\)](#)



- Standards and process to evaluate the school's performance to at least meet the outcomes adopted by the commissioner for public school students, including world's best workforce goals under [section 120B.11, Subdivision 1](#) per [Minnesota Statutes, section 124E.10, Subdivision 1\(c\)](#)
- Standards for determining consequences for meeting or not meeting performance standards
- The authorizer shall provide a formal written evaluation of the school's performance before the authorizer renews the charter contract per [Minnesota Statutes, section 124E.10, Subdivision 3\(a\)](#)
- Describe the school closure plan and describe the applicant's role in the orderly closure of a school in the event of revocation, non-renewal or voluntary relinquishment of the charter per [Minnesota Statutes, section 124E.10, Subdivision 1\(b\), Subdivision 4 and Subdivision 6](#)

**Advanced Guiding Question:**

- Identify how the applicant's charter school renewal and termination decision-making processes are designed to promote high quality charter schools and align with national quality authorizing principles and standards

### Application Submission Instructions

Applicants are to submit one electronic copy of the application, including attachments, as PDF documents in an organized fashion including page numbers. **Please do not send unsolicited information to the application following its initial submission.** Structure your submission as follows:

- Assurances – Form 1
- Applicant Contacts – Form 2
- Part A: Narrative responding to each performance measure (A.1 - A.11) **as one PDF**
- Part B: Narrative responding to each performance measure (B.1 - B.9) **as one PDF**
- Attachments clearly labeled with titles that are specific to the document (e.g. Charter School Manual) as separate PDFs

### Where to Submit the Application

Email electronic copies to [mde.charterschools@state.mn.us](mailto:mde.charterschools@state.mn.us). Hard copies may be dropped off at MDE by 4:30 p.m. Central Standard Time or mailed to MDE:

Minnesota Department of Education  
 Attn: Charter Center  
 1500 Highway 36 West  
 Roseville, MN 55113

### Technical Assistance

Please contact Paula Higgins at (651)582-8315 or [paula.higgins@state.mn.us](mailto:paula.higgins@state.mn.us) for technical assistance or questions.

### Disposition of Responses

Once an application is received, MDE may release to the public the name and mailing address of the applicant. All materials submitted will become property of the State of Minnesota and will become public record in accordance with [Minnesota Statutes, Chapter 13](#), after the evaluation process is completed.

The evaluation process is complete when the commissioner has notified the applicant of final approval or disapproval. If the applicant submits information that it believes to be trade-secret materials as defined by the Minnesota Government Data Practices Act, [Minnesota Statutes, section 13.37](#), the responder must:

- Clearly mark all trade secret materials in its response at the time the response is submitted;
- Include a statement justifying the trade-secret designation for each item; and
- Defend any action seeking release of the materials it believes to be a trade secret, and indemnify and hold harmless the state, its agents and employees, from any judgments or damages awarded against the state in favor of the party requesting the materials, and any and all costs connected with that defense. This indemnification survives the state's award of a contract. In submitting a response to this request for proposals, the responder agrees that this indemnification survives as long as the trade-secret materials are in possession of the state.

## Applicant Interview

The purpose of the applicant interview is to gain clarity on questions or concerns that arise from the review of the application. In addition, it provides an opportunity for the applicant to clearly articulate the overall authorizing plan, including the philosophy, policies, processes and short and long-term plans. Individuals relevant to the applicant's authorizing duties will be interviewed. The interview will be conducted at MDE.

The communication and implementation of the applicant's proposed practices are of vital importance to charter school authorizing. Following the desk review of Parts A and B, MDE will generate interview questions to reflect points of interest and areas for clarification or concerns that emerged from the review process.

### Interview Evaluation Criteria

The interview evaluates the applicant's **understanding of and ability to clearly articulate** the proposed authorizing plans. This includes displaying clarity and comprehension as well as a commitment to becoming an effective authorizer.

- **Clarity:** The applicant's responses are precise, effective, thoughtful and direct
- **Comprehension:** The applicant is well-informed and demonstrates comprehensive knowledge of the written application
- **Commitment:** The applicant conveys a genuine interest and commitment to becoming a quality authorizer

## New Authorizer Approval Process and Rating Scale

The authorizer approval process is designed to assess how well an applicant proposes to fulfill the role of a charter school authorizer, based on the requirements set out in [Minnesota Statutes, Chapter 124E](#). Each element of the authorizer application directly aligns with the performance measures of MAPES.

Reviewers evaluate authorizer applications according to the same rating scale used in MAPES to evaluate existing authorizers at their five year benchmark. The scale allows for specificity, differentiation of performance, and precision in identifying strengths and weaknesses of proposed authorizer practices. ***Please note that, in order to be an approved authorizer, an applicant must receive a satisfactory rating or higher on all rubric items.***

### 4 – Exemplary:

Content meets the minimum statutory requirements AND does an exceptional job of meeting MDE's standards for quality authorizing. Has potential to warrant notice from, and emulation by, other authorizers.

### 3 – Commendable:



Content meets the minimum statutory requirements AND exceeds standards in meeting MDE's standards for quality authorizing.

**2 – Satisfactory:**

Content meets the minimum statutory requirements AND meets minimum standards of MDE's standards for quality authorizing.

**1 – Approaching Satisfactory:**

Content does not meet the minimum statutory requirements OR improvement is needed in order to meet MDE's standards for quality authorizing.

**0 – Unsatisfactory or Incomplete:**

Content is either lacking altogether or falls well below the minimum statutory requirements for authorizing AND/OR MDE's standards for quality authorizing.

### **Response to Deficiencies**

Per [Minnesota Statutes, section 124E.05, Subdivision 3\(a\)](#), *The commissioner must approve or disapprove the application within 45 business days of the deadline for that application period. If the commissioner disapproves the application, the commissioner must notify the applicant of the specific deficiencies in writing and the applicant then has 20 business days to address the deficiencies to the commissioner's satisfaction.*

### **Submission to Demonstrate Satisfactory Remedy of Deficiencies**

If an application is initially disapproved, the commissioner's notice will include reviewer feedback identifying any content that has been determined to be unsatisfactory. Per [Minnesota Statutes, section 124E.05, Subdivision 3\(a\)](#), *"...if the commissioner disapproves the application, the commissioner must notify the applicant of the specific deficiencies in writing and the applicant then has 20 business days to address the deficiencies to the commissioner's satisfaction. After the 20 business days expire, the commissioner has 15 business days to make a final decision to approve or disapprove the application."*

### **Final Decisions**

Once an applicant's response to deficiencies is received, the commissioner has 15 business days to make a final decision. Per [Minnesota Statutes, section 124E.05, Subdivision 3\(a\)](#), *"Failing to address the deficiencies to the commissioner's satisfaction makes an applicant ineligible to be an authorizer."*

**Approval** - An approval by the commissioner means that MDE has found that the application meets the statutory requirements for authorizing and MDE's standards for quality authorizing.

**Disapproval** - A disapproval by the commissioner means that MDE has found that, in whole or in part, the application, including proposed practices, does not meet the statutory requirements for authorizing and/or MDE's standards for quality authorizing.

## Intent to Apply Notice and Applicant Eligibility Certification

**Name of Applicant** (intended applicant):

**Name of Applicant's Primary Contact:**

**Applicant's Primary Contact Information** (*include email, mailing address and phone number*):

**Directions:** Check the appropriate box ([Minn. Stat § 124E.05, Subd. 1](#)):

**Independent school district school board, intermediate school district board, or education district organized under Minnesota Statutes, sections 123A.15 to 123A.19.**

## Assurances – Form 1

### NAME OF APPLICANT:

By signing this form, I/we acknowledge that I/we am/are aware of authorizer responsibilities in their entirety as stated within the application materials and shall comply with all applicable federal, state and local laws, ordinances, rules, regulations and provisions stated therein, should the organization be approved to authorize charter schools in Minnesota. I/we hereby assure and agree to comply with all conditions of the approved application and submit required documents and certifications as required, should the organization be approved as an authorizer.

### Applicant's Identified Official with Authority

*(Provide the name, title and signature of person with legal authority to certify on behalf of the authorizer.)*

**Signature:**

**Date:**

**Name:**

**Title:**

### Applicant's Primary Authorizing Contact (if different from above)

**Signature:**

**Date:**

**Name:**

**Title:**

## Applicant Contacts – Form 2

**Name of Applicant:**

Please list individuals involved in the development of this application. Please add rows if necessary to include all individuals involved in this application.

**Name**

**Role/Position**

**Email Address**

### School District Applicant Assurances– Form 3

**Applicant Name:**

Please initial the measures below in which the applicants that is a school district is providing assurances that indicate agreement to comply with selected measures in lieu of a narrative response.

\_\_\_\_\_ **Measure A.1:** *The applicant assures that is has a clear and compelling mission for charter school authorizing that aligns with Minnesota Statutes 124E. Measures A.3: The applicant assures that it has a clear structure of duties and responsibilities and sufficient resources to effectively oversee its portfolio of charter schools.*

\_\_\_\_\_ **Measure A.3 and Measure A.4** *The applicant assures that it has a clear structure of duties and responsibilities and sufficient resources to effectively oversee its portfolio of charter schools. The applicant assures that it has appropriate experience, expertise and skills to sufficiently oversee the portfolio of charter schools.*

\_\_\_\_\_ **Measure A.5** *The applicant assures that it has a plan to build the knowledge and skill base of its authorizing leadership and staff through professional development. The applicant assures that it has a plan to provide professional development aligned with its operations, vision and goals for overseeing its portfolio of charter schools.*

\_\_\_\_\_ **Measure A.6** *Anticipated staff expenditures and personnel budget increases in relation to portfolio growth*

\_\_\_\_\_ **Measure A.7** *The applicant assures that it implements a clear policy to address conflicts of interest in all decision-making processes concerning the portfolio of charter schools.*

By signing this form, I/we agree to comply with all assurances stated above, should the school district be approved to authorize charter schools in Minnesota.

**Applicant’s Identified Official with Authority**

*(Provide the name, title and signature of person with legal authority to certify on behalf of the school district authorizer.)*

**Signature:**

**Date:**

**Name:**

**Title:**

**Applicant’s Primary Authorizing Contact (if different from above)**

**Signature:**

**Date:**

**Name:**

**Title:**



## **Minnesota Authorizer Performance Evaluation System (MAPES)**

### **Measures, Indicators and Specifications**

**Performance Measures A: Authorizer Capacity and Infrastructure – 25% Weight of Overall Rating**

**Performance Measures B: Authorizer Processes and Decision Making – 75% Weight of Overall Rating**

## SUMMARY OF AUTHORIZER PERFORMANCE MEASURES

### PERFORMANCE MEASURES A: AUTHORIZER CAPACITY AND INFRASTRUCTURE - 25% Weight of Overall Rating

#### Authorizer Mission and Vision

- A.1: Authorizer Mission (5%)
- A.2: Authorizer Vision and Organizational Goals (10%)

#### Authorizer Capacity and Infrastructure

- A.3: Authorizer Structure of Operations (15%)
- A.4: Authorizer Staff Expertise (10%)\*
- A.5: Authorizer Capacity and Skill Development of Leadership and Authorizing Staff (5%)\*
- A.6: Authorizer Operational Budget for Authorizing the Portfolio of Charter Schools (10%)
- A.7: Authorizer Operational Conflicts of Interest (10%)
- A.8: Ensuring Autonomy of the Schools in the Portfolio (15%)
- A.9: Authorizer Self-Evaluation of Capacity, Infrastructure, and Practices (5%)\*
- A.10: Authorizer High Quality Authorizing Dissemination (5%)\*
- A.11: Authorizer Compliance to Responsibilities Stated in Statute (10%)

### PERFORMANCE MEASURES B: AUTHORIZER PROCESSES AND DECISION MAKING - 75% Weight of Overall Rating

#### Authorizer Process and Decision-making

- B.1: New Charter School Decisions (20% / 5%)\*\*
- B.2: Interim Accountability Decisions (10% / 5%)\*\*

#### Authorizer Performance Contracting

- B.3: Contract Term, Negotiation, and Execution (10%)
- B.4: Performance Standards (10%)

#### Authorizer Ongoing Oversight and Evaluation

- B.5: Authorizer's Processes for Ongoing Oversight of the Portfolio of Charter Schools (10%)
- B.6: Authorizer's Standards and Processes for Interventions, Corrective Action and Response to Complaints (10%)\*
- B.7: Charter School Support, Development and Technical Assistance (5%)\*
- B.8: High Quality Charter School Replication and Dissemination of Best School Practices (5%)\*

#### Authorizer Renewal and Decision-Making

- B.9: Charter School Renewal or Termination Decision (20%)

\*Continuous Improvement Measure

\*\*Weights adjusted for authorizers not engaged in B.1 and/or B.2 activities

The development of the Minnesota Authorizer Performance Evaluation System (MAPES) was funded in part by an implementation grant from the National Association of Charter School Authorizer's (NACSA) Fund for Authorizer Excellence. Through this grant, TeamWorks International was selected as the contractor to help MDE develop the initial plan and performance measures.

## Minnesota Authorizer Performance Evaluation System Measures, Indicators and Specifications Overview

The Minnesota Authorizer Performance Evaluation System (MAPES) was established to review authorizers' performance per Minnesota Statutes, section 124E.05, Subdivision 5, and to identify high-quality authorizing practices to promote authorizer excellence in Minnesota.

Evaluation system objectives include:

- Setting clear expectations between authorizers and MDE regarding authorizer performance;
- Ensuring authorizer accountability and the fulfillment of approved authorizer applications;
- Promoting high-quality charter schools and authorizing excellence;
- Promoting national principles and standards for quality charter school authorizing; and
- Evaluating authorizer performance through a lens of continuous improvement.

Authorizers are evaluated against:

- 1) Nationally recognized standards and state expectations for high quality authorizing;
- 2) Established standards and processes stated in their most recently approved authorizer application (AAA); and
- 3) How they applied standards and processes with fidelity across their portfolio of charter schools. There are two elements to each measure, the *Performance Measure* and the *Specifications*. These elements set clear expectations of performance levels for measures in *Part A: Authorizer Capacity and Infrastructure* and *Part B: Authorizer Decision-Making and Processes* to apply consistent criteria across all measures for evaluation.

The *Performance Measure* includes:

- **Measure:** Title of the measure.
- **Guiding Question:** Defines what is being evaluated.
- **Measure Origin:** Identifies source from which the measures originate. These sources are used as reference documents in the evaluation.
- **Evaluation Data Source:** These key sources contribute fundamental data when evaluating authorizers on a particular measure.
- **Indicator Level Ratings:** Refers to criteria listed in *Performance Measure* levels. An authorizer will receive one of five performance ratings for each measure:
  - Level 4: Exemplary
  - Level 3: Commendable
  - Level 2: Satisfactory
  - Level 1: Approaching Satisfactory
  - Level 0: Unsatisfactory or Incomplete

The *Specifications* include:

- **Definitions (if applicable):** Used to define terms that are specific to a measure.
- **Specific Data Sources:** Documentation an authorizer submits to demonstrate that the authorizing organization sufficiently meets or exceeds the guiding question. The documents with an \* are required documents to at least receive a "Satisfactory" rating. The other documents address "Commendable" and "Exemplary" ratings for the performance measures. Authorizers may submit additional documentation not included on the list.
- **Weight:** There are 11 measures in Part A and 9 measures in Part B. Overall, Part A accounts for 25% of an authorizer's performance rating and Part B accounts for 75% of an authorizer's performance rating.  
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- **Time (duration):** Timeframes are applied to *certain* measures in Part A and Part B to clearly delineate among the performance indicator levels. In general:



- o Authorizers must meet “*Satisfactory*” (Level 2) performance indicator(s) for at least the last 12 months to receive a Level 2 rating for a measure;
- o Authorizers must meet “*Satisfactory*” (Level 2) performance indicator(s) for at least the last two years to receive a Level 3 rating for a measure; and
- o Authorizers must meet “*Satisfactory*” (Level 2) performance indicator(s) for at least the last three years to receive a Level 4 rating for a measure.

Exceptions are made to measures that have only continuous improvement and/or NACSA standard designations under measure origin. These measures are not required components of Minnesota Statutes, section 124E.01 et seq., nor were they addressed in approved authorizer applications from 2010-2012. To receive a Level 2, Level 3 or Level 4 rating in these measures, an authorizer needs to have met the indicators and specifications in the respective level for at least the last 12 months.

Considerations:

- **Guiding Question, Evaluation Data Source and Additional Evidence:** These are used as the primary evaluation data sources for the evaluation process, however, review documents are not limited to those stated above. Review documents are any type of documentation that is available and exists to verify the measure rating.
- **Internal Verification:** May include the main decision maker(s) and/or other employees, officers, volunteers and contractors of the authorizing organization.
- **External Verification:** May include charter school representatives in the authorizer’s portfolio such as the director(s) and/or board chair. If responses from external interviews are inconsistent, MDE may seek responses from additional charter school representatives in the authorizer’s portfolio.
- **Authorizers Not Engaged in B.1 and/or B.2 Activities:** The weight in measure *B.1 New Charter School Decisions* and *B.2 Interim Accountability Decisions* are adjusted for authorizers who are not actively chartering, opening and/or expanding charter schools, and/or reviewing/accepting change in authorizer applications. These authorizers can only receive up to “*Satisfactory*” (Level 2) rating for B.1 and B.2. To mitigate for the rating difference in comparison with authorizers who are engaged in these activities, the weight has been reduced for B.1 and B.2. These measures each have a 5% overall weight in Part B instead of 20% and 10%, respectively.

**PERFORMANCE MEASURES A: AUTHORIZER CAPACITY AND INFRASTRUCTURE  
AUTHORIZER MISSION AND VISION**

| A.1 MEASURE  | GUIDING QUESTION  | MEASURE ORIGIN  | EVALUATION DATA SOURCE   | LEVEL 0<br>Unsatisfactory or Incomplete         | LEVEL 1<br>Approaching Satisfactory  | LEVEL 2<br>Satisfactory   | LEVEL 3<br>Commendable   | LEVEL 4<br>Exemplary   |
|--|---|---|--|---|--|---|--|--|
| <b>Authorizer Mission</b>  | Does the authorizer have a clear and compelling mission for charter school authorizing? | <ul style="list-style-type: none"> <li>MN Statutes §124E.05, Subd. 4(1)</li> <li>MN Authorizer Application Standards</li> <li>NACSA Standard #1 – Advanced Standards</li> </ul> | 1. Most Recently Approved Authorizer Application (AAA)<br>2. Interview, Site Visits, Questionnaire | Mission is missing or vague                     | Mission is stated, but inadequately aligns with Minnesota charter school law   | Mission is stated and fully aligns with Minnesota charter school law  | Level 2<br><i>and</i><br>Mission is verified internally in practice and documentation at authorizing organization                          | Level 3<br><i>and</i><br>Mission is verified by external references (such as school board validation)                                      |
| <b>A.1 SPECIFICATIONS</b>  |   |   |  | <b>LEVEL 0<br/>Unsatisfactory or Incomplete</b> | <b>LEVEL 1<br/>Approaching Satisfactory</b>  | <b>LEVEL 2<br/>Satisfactory</b>   | <b>LEVEL 3<br/>Commendable</b>   | <b>LEVEL 4<br/>Exemplary</b>   |
| <b>Specific Data Sources</b> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> <li>Evidence of mission documented at the authorizing organization*</li> </ul> <b>Weight</b><br>5% |   |   |  | See above indicator                             | Mission being implemented is not consistent with AAA<br><i>and/or</i><br>Mission in AAA does not clearly align with Minnesota charter school law or does not outline what the organization is realizing as a charter school authorizer | Authorizer implements mission from AAA<br><i>and</i><br>Mission is aligned with Minnesota charter school law and reflects what the organization is realizing as a charter school authorizer | Level 2 specifications<br><i>and</i><br>Authorizer's mission is verified internally with consistent responses from interviewed individuals | Level 3 specifications<br><i>and</i><br>Authorizer's mission is verified externally with consistent responses from interviewed individuals |

**PERFORMANCE MEASURES A: AUTHORIZER CAPACITY AND INFRASTRUCTURE  
AUTHORIZER MISSION AND VISION (CONTINUED)**

| A.2 MEASURE  | GUIDING QUESTION   | MEASURE ORIGIN   | EVALUATION DATA SOURCE   | LEVEL 0<br>Unsatisfactory or Incomplete           | LEVEL 1<br>Approaching Satisfactory   | LEVEL 2<br>Satisfactory   | LEVEL 3<br>Commendable   | LEVEL 4<br>Exemplary   |
|--|--|--|--|---|---|---|--|--|
| <b>Authorizer Vision and Organizational Goals</b>  | Does the authorizer have a comprehensive vision for charter school authorizing with clear organizational goals and time frames for achievement that are aligned with the purposes of MN Law? | <ul style="list-style-type: none"> <li>MN Statutes §124E.01, Subd. 1</li> <li>MN Authorizer Application Standards</li> <li>NACSA Standard #1 – Advanced Standards</li> </ul> | <ol style="list-style-type: none"> <li>Most Recently Approved Authorizer Application (AAA)</li> <li>Interview, Site Visits, Questionnaire</li> </ol> | Vision is missing or without organizational goals | Vision aligns with state statute with limited measurable organizational goals   | Vision aligns with state statute with measurable organizational goals   | Level 2<br><i>and</i><br>Vision has clear organizational goals, criteria and timeframes for achievement<br><i>and</i><br>Authorizer is actively measuring and achieving most goals | Level 3<br><i>and</i><br>Authorizer is actively engaged in measuring and is achieving or exceeding goals established   |
| <b>A.2 SPECIFICATIONS</b>  |  |  |  | <b>LEVEL 0<br/>Unsatisfactory or Incomplete</b>   | <b>LEVEL 1<br/>Approaching Satisfactory</b>   | <b>LEVEL 2<br/>Satisfactory</b>   | <b>LEVEL 3<br/>Commendable</b>   | <b>LEVEL 4<br/>Exemplary</b>   |
| <b>Specific Data Sources</b> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> <li>Evidence of vision documented at the authorizing organization*</li> <li>Evidence of measurable organizational goals documented at the authorizing organization*</li> <li>Evidence of authorizer engaged in self-evaluation of work against chartering vision and progress towards organizational goals (e.g. strategic plan and/or continuous improvement plans)</li> </ul> <b>Weight</b><br>10% |  |  |  | See above indicator                               | Vision and/or goals implemented are not consistent with the approved AAA<br><i>and/or</i><br>Organizational goals are not clearly related to charter school authorizing | Authorizer implements vision from AAA<br><i>and</i><br>Authorizer organizational goals aligns with chartering vision and statutory purpose(s) | Level 2 specifications<br><i>and</i><br>See above indicator  | Level 3 specifications<br><i>and</i><br>Authorizer evaluates its work regularly against its chartering vision and organizational goals, and implemented plans for improvement when falling short of its mission and strategic plan |

**PERFORMANCE MEASURES A: AUTHORIZER CAPACITY AND INFRASTRUCTURE**  
**AUTHORIZER CAPACITY AND INFRASTRUCTURE**

| A.3 MEASURE                        | GUIDING QUESTION   | MEASURE ORIGIN  | EVALUATION DATA SOURCE   | LEVEL 0 Unsatisfactory or Incomplete  | LEVEL 1 Approaching Satisfactory   | LEVEL 2 Satisfactory  | LEVEL 3 Commendable  | LEVEL 4 Exemplary  |
|------------------------------------|--|---|--|---|--|---|--|--|
| Authorizer Structure of Operations | To what degree does the authorizer operate with a clear structure of duties and responsibilities and sufficient resources to effectively oversee its portfolio of charter schools? | <ul style="list-style-type: none"> <li>MN Statutes §124E.05, Subd. 42</li> <li>MN Authorizer Application Standards</li> <li>NACSA Standard #1 – Advanced Standards</li> </ul> | <ol style="list-style-type: none"> <li>Most Recently Approved Authorizer Application (AAA)</li> <li>Interview, Site Visits, Questionnaire</li> </ol> | Structure of duties and responsibilities is unclear, inconsistent and/or at a level inadequate to meet the needs of the portfolio | Structure of duties and responsibilities exists, but staffed at a level that does not sufficiently meet the needs of the portfolio | Clear structure of duties and responsibilities is defined, charted and at a level adequate to meet the needs of the portfolio | Level 2<br>and<br>Structure of duties and, and responsibilities is verified internally at authorizing organization<br>and<br>Staffing level is clearly sufficient to meet the needs of the portfolio | Level 3<br>and<br>Clear structure of duties and responsibilities are updated when necessary<br>and<br>Authorizer practices are verified externally (such as school board validation) |

| A.3 SPECIFICATIONS  | LEVEL 0 Unsatisfactory or Incomplete | LEVEL 1 Approaching Satisfactory   | LEVEL 2 Satisfactory  | LEVEL 3 Commendable  | LEVEL 4 Exemplary   |
|---|--------------------------------------|--|---|--|---|
| <p><b>Specific Data Sources</b></p> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> <li>Job descriptions of authorizer's personnel (e.g. employees, contractors, volunteers; both paid and unpaid positions, etc.) <b>if different than AAA*</b></li> <li>Most recent organizational chart that shows clear lines of reporting and authority/decision-making*</li> <li>If applicable, authorizer staffing changes since the AAA was approved including staffing size (FTE) compared to portfolio size*</li> </ul> <p><b>Weight</b><br/>15%</p> | See above indicator                  | Level 2 indicators were met, but have only been established and/or implemented within the last 12 months<br>or<br>One or more specifications described in Level 2 are only partially met | The following specifications were met for at least the last 12 months:<br>Sufficient resources to meet the needs of the portfolio of schools<br>and<br>If applicable, changes were made to the organizational structure when necessary<br>and<br>Authorizer appropriately manages and safeguards school, student information, and records relating to authorizing | a) Level 2 specifications were met for at least the last two years<br>and<br>b) Structure of duties, responsibilities and staffing levels are consistently verified internally at authorizing organization for interviewed individuals | Level 2 specifications were met for at least the last three years<br>and<br>Level 3 specification b)<br>and<br>Authorizer practices are consistently verified externally from interviewed individuals |

**PERFORMANCE MEASURES A: AUTHORIZER CAPACITY AND INFRASTRUCTURE  
AUTHORIZER CAPACITY AND INFRASTRUCTURE (CONTINUED)**

| A.4 MEASURE  | GUIDING QUESTION   | MEASURE ORIGIN  | EVALUATION DATA SOURCE   | LEVEL 0 Unsatisfactory or Incomplete  | LEVEL 1 Approaching Satisfactory   | LEVEL 2 Satisfactory  | LEVEL 3 Commendable   | LEVEL 4 Exemplary  |
|--|--|---|--|---|--|---|---|--|
| <b>Authorizer Staff Expertise (e.g. advisors, board members, volunteers, etc.)</b> | To what degree does the authorizer have appropriate experience, expertise and skills to sufficiently oversee the portfolio of charter schools? | <ul style="list-style-type: none"> <li>MN Statutes §124E.05, Subd. 4(2)</li> <li>MN Authorizer Application Standards</li> <li>NACSA Standard #1 – Advanced Standards</li> <li>Continuous Improvement Measure</li> </ul> | <ol style="list-style-type: none"> <li>Most Recently Approved Authorizer Application (AAA)</li> <li>Interview, Site Visits, Questionnaire</li> </ol> | Authorizing staff is underqualified to oversee the portfolio of charter schools | Authorizing staff has limited experience, expertise and skills in charter schools, curriculum, instruction, management, facilities, finance, and/or law with insufficient skills to oversee the portfolio of charter schools | Authorizing staff has experience, expertise and skills in charter schools, curriculum, instruction, management, facilities, finance and law | Authorizing staff has diverse experience, expertise and skills in charter schools, curriculum, instruction, management, facilities, finance and law | Authorizing staff has diverse experience, documented expertise (licensure, certificates, etc.) and skills in charter schools, curriculum, instruction, management, facilities, finance and law |

| A.4 SPECIFICATIONS  | LEVEL 0 Unsatisfactory or Incomplete | LEVEL 1 Approaching Satisfactory   | LEVEL 2 Satisfactory                                      | LEVEL 3 Commendable  | LEVEL 4 Exemplary  |
|---|--------------------------------------|--|---|--|--|
| <p><b>Definitions</b></p> <ul style="list-style-type: none"> <li>Authorizing staff refers to individuals both paid and unpaid as well as contractors hired by the authorizer</li> <li>Expertise is defined as having knowledge, education, training, etc. in the areas of charter schools, curriculum, instruction, management, facilities, finance, and law</li> <li>Experience is defined as length of time working in the areas of charter schools, curriculum, instruction, management, facilities, finance, and law</li> <li>Skills is defined as effective application of experience and expertise in the areas of charter schools, curriculum, instruction, management, facilities, finance, and law</li> </ul> <p><b>Specific Data Sources</b></p> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> <li>Current resumes/vitae of existing personnel including contracted individuals with employment/contract terms <i>if different than AAA</i>*</li> <li>If not included in the resume: conference or workshop certificates of completion or participation; college level course transcripts; licenses; certifications; degrees; etc. documenting staff expertise</li> </ul> <p><b>Weight</b><br/>10%</p> | See above indicator                  | <p>Level 2 indicators were met, but have only been established and/or implemented within the last 12 months</p> <p>or</p> <p>See above indicator</p> | Level 2 indicator was met for at least the last 12 months | <p>a) Level 2 indicator was met for at least the last two years</p> <p>and</p> <p>b) For at least the last 12 months authorizing staff has diverse experience, expertise and/or skills: diverse is defined as a team of authorizing staff having experience, expertise, and/or specialists with advanced skills and expertise in one or multiple areas above</p> | <p>Level 2 indicator was met for at least the last three years</p> <p>and</p> <p>Level 3 specification b)</p> <p>and</p> <p>For at least the last 12 months authorizing staff are credentialed</p> |

**PERFORMANCE MEASURES A: AUTHORIZER CAPACITY AND INFRASTRUCTURE  
AUTHORIZER CAPACITY AND INFRASTRUCTURE (CONTINUED)**

| A.5 MEASURE  | GUIDING QUESTION  | MEASURE ORIGIN   | EVALUATION DATA SOURCE  | LEVEL 0<br>Unsatisfactory or Incomplete   | LEVEL 1<br>Approaching Satisfactory   | LEVEL 2<br>Satisfactory  | LEVEL 3<br>Commendable   | LEVEL 4<br>Exemplary   |
|--|---|--|---|---|---|--|--|--|
| <b>Authorizer Capacity and Skill Development of Authorizing Leadership and Staff</b> | To what degree does the authorizer build the knowledge and skill base of its authorizing leadership and staff through professional development?<br><br>Is professional development aligned with its operations, vision and goals for overseeing its portfolio of charter schools? | <ul style="list-style-type: none"> <li>NACSA Standard #1 – Advanced Standards</li> <li>Continuous Improvement Measure</li> </ul> | <ol style="list-style-type: none"> <li>Authorizer Annual Report</li> <li>Interview, Site Visits, Questionnaire</li> </ol> | Professional development is rarely offered or not offered to authorizing leadership and staff | Professional development for authorizing leadership and staff is sporadic or in response to a problem | Professional development is offered to authorizing leadership and staff<br><br><i>and</i><br>Aligns with its operations, vision and goals for the portfolio of schools | Level 2<br><br><i>and</i><br>Professional development is offered regularly to authorizing leadership and staff | Professional development is offered regularly to authorizing leadership and staff, is differentiated, and aligns with operations, vision and goals for the portfolio of schools<br><br><i>and</i><br>Outcomes of professional development are measured and evaluated |

| A.5 SPECIFICATIONS  | LEVEL 0<br>Unsatisfactory or Incomplete | LEVEL 1<br>Approaching Satisfactory  | LEVEL 2<br>Satisfactory  | LEVEL 3<br>Commendable   | LEVEL 4<br>Exemplary   |
|---|---|--|--|--|--|
| <b>Specific Data Sources</b> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence <i>if different than authorizer annual report submissions</i>*</li> <li>Documentation of professional development offered to authorizing staff within the last 12 months, date of professional development, who attended, how the professional development addressed a needed skill base for authorizing leadership and staff and how the professional development aligns with operations, vision and goals for the portfolio of schools*</li> <li>If not included in the resume submitted for A.4: conference or workshop certificates of completion or participation; etc. for authorizing staff</li> </ul> <b>Weight</b><br>5% | See above indicator                     | Professional development is only incident specific<br><br><i>and/or</i><br>Professional Development misaligns with authorizer mission and vision | Within the last 12 months professional development was intentional and planned to build the skill base of the authorizing leadership and staff | Level 2 specification<br><br><i>and</i><br>Professional development is regular, ongoing, and more than once a year | Level 3 specifications<br><br><i>and</i><br>Within the last 12 months professional development is measured, evaluated and customized to meet the needs of the authorizing leadership and staff |

**PERFORMANCE MEASURES A: AUTHORIZER CAPACITY AND INFRASTRUCTURE  
AUTHORIZER CAPACITY AND INFRASTRUCTURE (CONTINUED)**

| A.6 MEASURE   | GUIDING QUESTION   | MEASURE ORIGIN  | EVALUATION DATA SOURCE   | LEVEL 0 Unsatisfactory or Incomplete   | LEVEL 1 Approaching Satisfactory  | LEVEL 2 Satisfactory  | LEVEL 3 Commendable  | LEVEL 4 Exemplary  |
|---|--|---|--|--|---|---|--|--|
| <b>Authorizer Operational Budget for Authorizing the Portfolio of Charter Schools</b> | To what degree is the authorizer's actual resource allocation commensurate with its stated budget, needs and responsibilities of authorizing the portfolio of charter schools? | <ul style="list-style-type: none"> <li>MN Statutes §124E.05, Subd. 3(1) and 4(2)</li> <li>MN Authorizer Application Standards</li> <li>NACSA Standard #1</li> </ul> | <ol style="list-style-type: none"> <li>Most Recently Approved Authorizer Application (AAA)</li> <li>Income and Expenditures Report</li> <li>Interview, Site Visits, Questionnaire</li> </ol> | Resource allocations for authorizing fall short of resources committed in its AAA<br><i>and</i><br>Resource allocations are insufficient to fulfill authorizing responsibilities | Resource allocations for authorizing fall short of resources committed in its AAA<br><i>or</i><br>Resource allocations are insufficient to fulfill authorizing responsibilities | Resource allocations for authorizing are at least consistent with resources committed in its AAA, sufficient to fulfill authorizing responsibilities and commensurate with the scale of the portfolio | Level 2<br><i>and</i><br>Resource allocations are devoted to achieve nationally recognized quality standards for authorizing | Level 3<br><i>and</i><br>Resource allocations have resulted in attainment of nationally recognized quality standards for authorizing |

| A.6 SPECIFICATIONS  | LEVEL 0 Unsatisfactory or Incomplete | LEVEL 1 Approaching Satisfactory   | LEVEL 2 Satisfactory   | LEVEL 3 Commendable  | LEVEL 4 Exemplary   |
|---|--------------------------------------|--|--|--|---|
| <p><b>Definitions</b></p> <ul style="list-style-type: none"> <li>Income: Examples include fees collected annually from charter schools and additional funds from outside sources</li> <li>Expenditures: Examples include staff, travel, consultants and office costs</li> </ul> <p><b>Specific Data Sources</b></p> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> <li>Updated five year budget with actuals for years 1 - 4 since approval*</li> <li>Documentation that resource allocations are devoted to achieve nationally recognized quality authorizing standards</li> <li>Documentation that resource allocations have resulted in recognition of nationally recognized quality authorizing standards</li> </ul> <p><b>Weight</b><br/>10%</p> | See above indicator                  | Level 2 indicators were met, but have only been established and/or implemented within the last 12 months<br><i>or</i><br>One Level 1 indicator | For at least the last 12 months the following were met:<br><br>Level 2 indicator<br><i>and</i><br>Authorizer demonstrates resource allocations are adequate to fulfill authorizing responsibilities and the needs and scale of its portfolio (e.g. income, expenditures, number and size of the charter schools in the portfolio)<br><i>and</i><br>Resource allocation aligns with or exceeds its AAA<br><i>and</i><br>Authorizer staff changes occurred in relation to portfolio growth | a) Level 2 specifications were met for at least the last two years<br><i>and</i><br>b) Resource allocations are devoted to align with state and national authorizing principles and standards which enables the authorizer to monitor and evaluate the school's financial stability and viability based on short-term performance and long-term financial sustainability | Level 2 specifications were met for at least three years<br><i>and</i><br>Level 3 specification b)<br><i>and</i><br>Resource allocations have resulted in recognition of national quality authorizing standards |

**PERFORMANCE MEASURES A: AUTHORIZER CAPACITY AND INFRASTRUCTURE**  
**AUTHORIZER CAPACITY AND INFRASTRUCTURE (CONTINUED)**

| A.7 MEASURE   | GUIDING QUESTION   | MEASURE ORIGIN   | EVALUATION DATA SOURCE   | LEVEL 0 Unsatisfactory or Incomplete   | LEVEL 1 Approaching Satisfactory  | LEVEL 2 Satisfactory  | LEVEL 3 Commendable   | LEVEL 4 Exemplary  |
|---|--|--|--|--|---|---|---|--|
| <b>Authorizer Operational Conflicts of Interest</b> | To what degree does the authorizer implement a clear policy to address conflicts of interest in all decision making processes concerning the portfolio of charter schools? | <ul style="list-style-type: none"> <li>MN Authorizer Application Standards</li> <li>NACSA Principle III</li> </ul> | 1. Most Recently Approved Authorizer Application (AAA)<br>2. Interview, Site Visits, Questionnaire | Conflict of interest policy for authorizing does not exist or is not implemented | Conflict of interest policy for authorizing exists, but implementation is unclear or does not effectively address conflicts of interest | Clear conflict of interest policy for authorizing exists and is intentionally implemented | Level 2<br><i>and</i><br>Implementation of policy has successfully prevented or resolved conflicts of interest in a timely, fair and appropriate manner | Level 3<br><i>and</i><br>School representatives verify authorizer's response to guiding question |

| A.7 SPECIFICATIONS   | LEVEL 0 Unsatisfactory or Incomplete   | LEVEL 1 Approaching Satisfactory  | LEVEL 2 Satisfactory  | LEVEL 3 Commendable  | LEVEL 4 Exemplary   |
|--|--|---|---|--|---|
| <p><b>Specific Data Sources</b></p> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> <li>Current authorizer conflict of interest policy <i>if different from AAA*</i></li> <li>Authorizer conflict of interest processes and procedures for implementation and execution (could include forms, check lists, etc.)*</li> <li>A fully documented example of how the authorizer successfully implemented their conflict of interest policy*</li> </ul> <p><b>Weight</b><br/>10%</p> | <p>Numerous conflicts exist between the authorizer and its charter schools (e.g. staff and board may overlap, authorizer may require school to purchase services from authorizer, funds may be comingled, etc.)</p> <p><i>and/or</i></p> <p>Schools are offered incentives by the authorizer (e.g. may only contract with an authorized for various services)</p> <p><i>and/or</i></p> <p>Authorizer's decisions are improperly influenced by a management company or the school board</p> | <p>Authorizer does not follow its conflict of interest policy as outlined in its AAA</p> <p><i>and/or</i></p> <p>Decision making is not transparent and/or it is unclear what criteria are used by the authorizer to make decisions</p> | <p>Authorizer avoids conflicts of interest that might affect its capacity to make objective, merit-based application and renewal decisions (e.g. involvement in school's performance)</p> <p><i>and</i></p> <p>Authorizer is able to provide at least one fully documented example of how they have successfully implemented their conflict of interest policy</p> <p><i>and</i></p> <p>Ensures that the application-review and decision making processes are free of conflicts of interest, and requires full disclosure of any potential or perceived conflicts of interest between reviewers or decision makers and applicants</p> | <p>Level 2 specifications</p> <p><i>and</i></p> <p>If MDE inquires about a specific example, authorizer is able to provide evidence concerning the situation that demonstrates satisfactory resolution</p> | <p>Level 3 specifications</p> <p><i>and</i></p> <p>The implementation and effectiveness of the authorizer's conflict of interest policy is verified externally with consistent responses from interviewed individuals</p> |

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**PERFORMANCE MEASURES A: AUTHORIZER CAPACITY AND INFRASTRUCTURE  
AUTHORIZER CAPACITY AND INFRASTRUCTURE (CONTINUED)**

| A.8 MEASURE  | GUIDING QUESTION  | MEASURE ORIGIN  | EVALUATION DATA SOURCE   | LEVEL 0 Unsatisfactory or Incomplete   | LEVEL 1 Approaching Satisfactory  | LEVEL 2 Satisfactory   | LEVEL 3 Commendable   | LEVEL 4 Exemplary  |
|--|---|---|--|--|---|--|---|--|
| <b>Ensuring Autonomy of the Schools in the Portfolio</b> | To what degree does the authorizer preserve and support the essential autonomies of the portfolio of charter schools? | <ul style="list-style-type: none"> <li>MN Statutes §124E.03, Subd. 1</li> <li>MN Authorizer Application Standards</li> <li>NACSA Principle II</li> <li>NACSA Standard #4</li> </ul> | <ol style="list-style-type: none"> <li>Most Recently Approved Authorizer Application (AAA)</li> <li>Interview, Site Visits, Questionnaire</li> </ol> | <p>Authorizer policy for ensuring autonomy is missing or vague<br/><i>and</i></p> <p>In practice there is confusion regarding appropriate levels of autonomy with the schools in the portfolio</p> | <p>Authorizer policy for ensuring autonomy exists but is vague<br/><i>or</i></p> <p>In practice there is confusion regarding appropriate levels of autonomy with the schools in the portfolio</p> | <p>Authorizer has a clear policy to ensure school autonomy<br/><i>and</i></p> <p>Authorizer's practices align with its stated policy to uphold school autonomy</p> | <p>Level 2<br/><i>and</i></p> <p>Authorizer's policy aligns with nationally recognized principles and standards for quality authorizing</p> | <p>Level 3<br/><i>and</i></p> <p>School representatives verify authorizer's response to guiding question</p> |

| A.8 SPECIFICATIONS  |  |  |  | LEVEL 0 Unsatisfactory or Incomplete   | LEVEL 1 Approaching Satisfactory  | LEVEL 2 Satisfactory   | LEVEL 3 Commendable   | LEVEL 4 Exemplary   |
|---|--|--|--|--|---|--|---|---|
| <p><b>Specific Data Sources</b></p> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> <li>Current policy on charter school autonomy <i>if different from AAA</i>*</li> <li>Charter school autonomy processes and procedures for implementation and execution*</li> <li>Documentation on how the authorizer's policy aligns with nationally recognized principles and standards</li> </ul> <p><b>Weight</b><br/>15%</p> |  |  |  | <p>Authorizer policy is missing or does not clearly relate to charter school authorizing or misaligns with Minnesota charter school law<br/><i>and</i></p> <p>Authorizer is overly involved in the processes and operations of the school's authority over academic, operational and financial needs</p> | <p>Authorizer policy does not clearly relate to charter school authorizing or misaligns with Minnesota charter school law<br/><i>or</i></p> <p>Authorizer is overly involved in the processes and operations of the school's authority over academic, operational and financial needs</p> | <p>Authorizer's autonomy policy aligns with state statute<br/><i>and</i></p> <p>Authorizer's policy on school autonomy establishes and recognizes the school's authority over academic, operational and financial needs and respects the school's authority over the schools' day-to-day operations<br/><i>and</i></p> <p>Practice aligns with policy; authorizer holds charter schools accountable for outcomes rather than on processes and operations</p> | <p>Level 2 specifications<br/><i>and</i></p> <p>See above indicator</p> | <p>Level 3 specifications<br/><i>and</i></p> <p>Authorizer's policy and practices to ensure school's autonomy is verified externally with consistent responses from interviewed individuals</p> |

**PERFORMANCE MEASURES A: AUTHORIZER CAPACITY AND INFRASTRUCTURE  
AUTHORIZER CAPACITY AND INFRASTRUCTURE (CONTINUED)**

| A.9 MEASURE   | GUIDING QUESTION   | MEASURE ORIGIN  | EVALUATION DATA SOURCE  | LEVEL 0<br>Unsatisfactory or Incomplete   | LEVEL 1<br>Approaching Satisfactory  | LEVEL 2<br>Satisfactory   | LEVEL 3<br>Commendable  | LEVEL 4<br>Exemplary   |
|---|--|---|---|---|--|---|---|--|
| <b>Authorizer Self-Evaluation of Capacity, Infrastructure and Practices</b> | To what degree does the authorizer self-evaluate its internal ability (capacity, infrastructure, and practices) to oversee the portfolio of charter schools? | <ul style="list-style-type: none"> <li>NACSA Standard #1</li> <li>Continuous Improvement Measure</li> </ul> | <ol style="list-style-type: none"> <li>Authorizer Annual Report</li> <li>Interview, Site Visits, Questionnaire</li> </ol> | Authorizer does not review its internal ability to oversee the portfolio of charter schools | Authorizer may have an informal review of its internal ability to oversee the portfolio of charter schools | Authorizer regularly reviews its internal ability to oversee the portfolio of charter schools | Level 2<br>and<br>Authorizer reviews its internal practices against its chartering mission, vision and organizational goals<br>and<br>Authorizer develops continuous improvement plans to address findings of self-evaluation | Level 3<br>and<br>Implementation of continuous improvement plans have resulted in more effective authorizing practices, one or more of which may be externally recognized such as by MDE, NACSA, and/or another organization |

| A.9 SPECIFICATIONS  | LEVEL 0<br>Unsatisfactory or Incomplete   | LEVEL 1<br>Approaching Satisfactory  | LEVEL 2<br>Satisfactory  | LEVEL 3<br>Commendable   | LEVEL 4<br>Exemplary   |
|---|---|--|--|--|--|
| <p><b>Specific Data Sources</b></p> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence <i>if different than authorizer annual report submissions</i>*</li> <li>Authorizer self-evaluation tool(s), tracking and progress development within the last 12 months*</li> <li>An example of authorizer strategic plan(s), continuous improvement plan(s) and/or staff development based on self-evaluations*</li> <li>Documentation of how the authorizer self-evaluation aligns with authorizer chartering mission, vision and organizational goals</li> <li>Documentation of authorizing practices that were recognized externally (e.g. MDE, NACSA, and/or another organization)</li> </ul> <p><b>Weight</b><br/>5%</p> | Authorizer did not engage in self-evaluation to improve capacity, infrastructure and practice to oversee its portfolio of charter schools | Authorizer self-evaluations occur but are not intentional or planned to build its capacity, infrastructure and practices to oversee its portfolio of charter schools | Within the last 12 months self-evaluations are intentional and planned to build its capacity, infrastructure and practices to oversee its portfolio of charter schools | Level 2 specification<br>and<br>Within the last 12 months the following were met:<br>a) Authorizer addresses any needs for improvement when not meeting its mission, organizational goals or strategic plan<br>and<br>b) Authorizer implements continuous improvement plans and documents its internal reviews | Level 3 specifications<br>and<br>Within the last 12 months authorizer evaluates its work regularly against national standards for quality authorizing and recognized effective practices, and develops and implements timely plans for improvement when needed |

**PERFORMANCE MEASURES A: AUTHORIZER CAPACITY AND INFRASTRUCTURE  
AUTHORIZER CAPACITY AND INFRASTRUCTURE (CONTINUED)**

| A.10 MEASURE   | GUIDING QUESTION   | MEASURE ORIGIN   | EVALUATION DATA SOURCE  | LEVEL 0<br>Unsatisfactory or Incomplete         | LEVEL 1<br>Approaching Satisfactory               | LEVEL 2<br>Satisfactory   | LEVEL 3<br>Commendable  | LEVEL 4<br>Exemplary  |
|--|--|--|---|---|---|---|---|---|
| <b>Authorizer High Quality Authorizing Dissemination</b>   | To what degree does the authorizer disseminate best authorizing practices and/or assist other authorizers in high quality authorizing? | <ul style="list-style-type: none"> <li>Continuous Improvement Measure</li> </ul> | <ol style="list-style-type: none"> <li>1. Authorizer Annual Report</li> <li>2. Interview, Site Visits, Questionnaire</li> </ol> | Best practices are not shared with authorizers  | Best practices are rarely shared with authorizers | Best practices are shared and/or assistance is provided to other authorizers  | Best practices are regularly shared with authorizers and/or assistance is regularly provided to other authorizers | Level 3<br>and<br>Authorizer reaches out to other authorizers to offer support and guidance                   |
| <b>A.10 SPECIFICATIONS</b>   |  |  |   | <b>LEVEL 0<br/>Unsatisfactory or Incomplete</b> | <b>LEVEL 1<br/>Approaching Satisfactory</b>       | <b>LEVEL 2<br/>Satisfactory</b>   | <b>LEVEL 3<br/>Commendable</b>  | <b>LEVEL 4<br/>Exemplary</b>  |
| <b>Specific Data Sources</b> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> <li>Documentation of best practice sharing, engagement or technical assistance with/to other authorizers within the last 12 months <i>if different than authorizer annual report submissions*</i></li> </ul> <b>Weight</b><br>5% |  |  |   | See above indicator                             | See above indicator                               | Within the last 12 months authorizer engages with other authorizers to improve the authorizing community of practice in the state including sharing best practices and/or providing technical assistance to other authorizers | a) Level 2 specification<br>and<br>b) Level 3 indicator was met within the last 12 months                         | Level 3 specifications<br>and<br>Within the last 12 months best practices are sought out by other authorizers |

**PERFORMANCE MEASURES A: AUTHORIZER CAPACITY AND INFRASTRUCTURE  
AUTHORIZER CAPACITY AND INFRASTRUCTURE (CONTINUED)**

| A.11 MEASURE   | GUIDING QUESTION   | MEASURE ORIGIN  | EVALUATION DATA SOURCE                     | LEVEL 0<br>Unsatisfactory or Incomplete   | LEVEL 1<br>Approaching Satisfactory   | LEVEL 2<br>Satisfactory  | LEVEL 3<br>Commendable   | LEVEL 4<br>Exemplary  |
|--|--|---|--|---|---|--|--|---|
| <b>Authorizer Compliance to Responsibilities Stated in Statute</b> | To what degree does the authorizer comply with reporting, submissions, and deadlines set forth in Minnesota Statute? | <ul style="list-style-type: none"> <li>MN Statutes §124E.05, Subd. 6</li> <li>Report on Income and Expenditures</li> <li>Submission of affidavits and requests</li> <li>Submission of Authorizer Annual Reports</li> <li>Participation in MDE required trainings</li> </ul> | 1. Minnesota Statute: Statutory Compliance | Over the last two or more years, the authorizer was consistently non-compliant in one or more of the stated areas | Over the last two or more years, the authorizer was occasionally non-compliant in one or more of the stated areas | Over the last two years, the authorizer was consistently compliant in all the stated areas | Over the last three years, the authorizer was consistently compliant in all the stated areas | Over the last four years, the authorizer was consistently compliant in all the stated areas |

| A.11 SPECIFICATIONS  | LEVEL 0<br>Unsatisfactory or Incomplete | LEVEL 1<br>Approaching Satisfactory | LEVEL 2<br>Satisfactory  | LEVEL 3<br>Commendable   | LEVEL 4<br>Exemplary  |
|--|---|-------------------------------------|--|--|---|
| <b>Specific Data Sources</b> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> </ul> <b>Weight</b><br>10% | See above indicator                     | See above indicator                 | For at least the last two years, the authorizer was 100% compliant in all stated areas | For at least the last three years, the authorizer was 100% compliant in all stated areas | For at least the last four years, the authorizer was 100% compliant in all stated areas |

**PERFORMANCE MEASURES B: AUTHORIZER PROCESSES AND DECISION MAKING**  
**AUTHORIZER PROCESS AND DECISION MAKING**

| B.1 MEASURE                         | GUIDING QUESTION  | MEASURE ORIGIN   | EVALUATION DATA SOURCE   | LEVEL 0<br>Unsatisfactory or Incomplete   | LEVEL 1<br>Approaching Satisfactory   | LEVEL 2<br>Satisfactory   | LEVEL 3<br>Commendable  | LEVEL 4<br>Exemplary   |
|-------------------------------------|---|--|--|---|---|---|---|--|
| <b>New Charter School Decisions</b> | <p>To what degree does the authorizer have clear and comprehensive approval criteria and process standards to rigorously evaluate new charter school proposals?</p> <p>To what degree did the authorizer's decisions and resulting actions align to its stated approval and process standards and promote the growth of high quality charter schools?</p> | <ul style="list-style-type: none"> <li>• MN Statutes §124E.06, Subd. 4(3)</li> <li>• MN Authorizer Application Standards</li> <li>• NACSA Standard #2</li> </ul> | <ol style="list-style-type: none"> <li>1. Most Recently Approved Authorizer Application (AAA)</li> <li>2. MDE records and/or review of requests</li> <li>3. Interview, Site Visits, Questionnaire</li> </ol> | <p>Approval criteria and process standards in its AAA are incompletely or insufficiently stated</p> <p><i>and</i></p> <p>Authorizer's decisions and resulting actions misalign with its AAA</p> | <p>Authorizer's application process is not comprehensive; does not include clear application questions and guidance; or does not include fair, transparent procedures and rigorous criteria</p> <p><i>and/or</i></p> <p>Authorizer's decisions and resulting actions are inconsistent across the portfolio</p> <p><i>and/or</i></p> <p>Authorizer's decisions and resulting actions misalign with its AAA</p> | <p>Authorizer's application process is comprehensive; includes clear application questions and guidance; and includes fair, transparent procedures and rigorous criteria</p> <p><i>and</i></p> <p>Authorizer's decisions and resulting actions are consistent across the portfolio</p> <p><i>and</i></p> <p>Authorizer's decisions and resulting actions align with its AAA</p> | <p>Level 2</p> <p><i>and</i></p> <p>Authorizer's application process has resulted in attainment of nationally recognized quality standards for authorizing and designed to promote high quality charter schools</p> | <p>Level 3</p> <p><i>and</i></p> <p>School representatives verify authorizer's response to guiding question and approvals have resulted in the promotion of high-quality charter schools</p> |

| B.1 SPECIFICATIONS   | LEVEL 0<br>Unsatisfactory or<br>Incomplete   | LEVEL 1<br>Approaching<br>Satisfactory  | LEVEL 2<br>Satisfactory   | LEVEL 3<br>Commendable  | LEVEL 4<br>Exemplary   |
|--|--|---|---|---|--|
| <p><b>Authorizers actively reviewing new charter school applications</b></p> <p><b>Specific Data Sources</b></p> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> <li>Charter school application, policies, procedures, timelines, and processes (including charter school application packet that covers, at a minimum, all elements found in this section) <i>if different than AAA*</i></li> <li>Documentation/summary of applications and authorizer decisions since the AAA was approved*</li> <li>An example of a new charter school application review process (from beginning to end) including qualifications of individuals who reviewed the application and those who served on the interview committee*</li> <li>Documentation of recognition of national quality authorizing new charter school application standards and designed to promote and/or resulted in high quality charter schools</li> </ul> <p><b>Weight</b><br/>20%</p> | <p>See above indicator</p> <p>and</p> <p>Decisions and resulting actions are inconsistent with its criteria as stated in its AAA</p>   | <p>Level 2 indicators were met, but have only been established and/or implemented within the last 12 months</p> <p>or</p> <p>One or two Level 1 indicators</p>  | <p>Level 2 indicators were met for at least the last 12 months</p>  | <p>a) Level 2 indicators were met for at least the last two years</p> <p>and</p> <p>b) Authorizer's new charter school application process has resulted in recognition of national quality authorizing standards</p> <p>and</p> <p>c) For at least the last 12 months the application process reflects a clear strategy to promote high-quality charter schools</p> | <p>Level 2 indicators were met for at least three years</p> <p>and</p> <p>Level 3 specification b)</p> <p>and</p> <p>Level 3 specification c) have been met for at least the last two years</p> <p>and</p> <p>Authorizer's new charter school application standards and processes are verified externally with consistent responses from interviewed individuals</p> <p>and</p> <p>Decisions resulted in the promotion of high-quality charter schools</p> |
| <p><b>Authorizers not reviewing new charter school applications</b></p> <p><b>Specific Data Sources</b></p> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> <li>Charter school application, policies, procedures, timelines, and processes (including charter school application packet that covers, at a minimum, all elements found in this section) <i>if different than AAA*</i></li> </ul> <p><b>Weight</b><br/>5%</p>   | <p>Approval criteria and process standards in its AAA are incompletely or insufficiently stated</p> <p>and</p> <p>Authorizer's AAA indicated they would run a process for seeking new charter schools and they have not followed their AAA</p> | <p>Authorizer's application process is not comprehensive; does not include clear application questions and guidance; or does not include fair, transparent procedures and rigorous criteria</p> <p>or</p> <p>Authorizer's AAA indicated they would run a process for seeking new charter schools and they have not followed their AAA</p> | <p>Authorizer's application process is comprehensive; includes clear application questions and guidance; and includes fair, transparent procedures and rigorous criteria</p> <p>and</p> <p>Authorizer's actions are aligned with plans presented in the AAA</p> | <p>Not applicable</p>   | <p>Not applicable</p>  |

**PERFORMANCE MEASURES B: AUTHORIZER PROCESSES AND DECISION MAKING  
AUTHORIZER PROCESS AND DECISION MAKING (CONTINUED)**

| B.2 MEASURE  | GUIDING QUESTION   | MEASURE ORIGIN   | EVALUATION DATA SOURCE   | LEVEL 0<br>Unsatisfactory or Incomplete  | LEVEL 1<br>Approaching Satisfactory  | LEVEL 2<br>Satisfactory  | LEVEL 3<br>Commendable  | LEVEL 4<br>Exemplary  |
|--|--|--|--|--|--|--|---|---|
| <b>Interim Accountability Decisions (e.g. site/grade level expansions, ready to open and change in authorizer)</b> | <p>To what degree does the authorizer have clear and comprehensive approval criteria and process standards to rigorously evaluate proposals of existing charter school expansion requests and other interim changes?</p> <p>To what degree do the authorizer's decisions and resulting actions regarding charter school expansion and other interim changes align to its stated approval and process standards and promote the growth of high-quality charter schools?</p> | <ul style="list-style-type: none"> <li>• MN Statutes §124E.05, Subd. 4(6)</li> <li>• MN Statutes §124E.06, Subd. 5(a)</li> <li>• MN Statutes §124E.10, Subd. 5</li> <li>• MN Statutes §124E.13, Subd. 3(d)</li> <li>• Authorizer Application Standards</li> <li>• NACSA Standard #2</li> </ul> | <ol style="list-style-type: none"> <li>1. Most Recently Approved Authorizer Application (AAA)</li> <li>2. MDE Analysis of Renewal Contracts</li> <li>3. MDE review of requests</li> <li>4. Interview, Site Visits, Questionnaire</li> <li>5. State Portfolio Performance Data</li> <li>6. Authorizer provided portfolio performance data through Authorizer Annual Report</li> </ol> | <p>Approval criteria and process standards in its AAA are incompletely or insufficiently stated</p> <p>and</p> <p>Authorizer's decisions and resulting actions misalign with its AAA</p> | <p>The authorizer's application processes are not comprehensive; do not include clear application questions and guidance; or do not include fair, transparent procedures and rigorous criteria</p> <p>and/or</p> <p>Authorizer's decisions and resulting actions are inconsistent across the portfolio</p> <p>and/or</p> <p>Authorizer's decisions and resulting actions misalign with its AAA</p> | <p>Authorizer's application processes are comprehensive; include clear application questions and guidance; and include fair, transparent procedures and rigorous criteria</p> <p>and</p> <p>Authorizer's decisions and resulting actions are consistent across the portfolio</p> <p>and</p> <p>Authorizer's decisions and resulting actions align with its AAA</p> | <p>Level 2</p> <p>and</p> <p>Authorizer's application processes have resulted in attainment of nationally recognized quality standards for authorizing and designed to promote high quality charter schools</p> | <p>Level 3</p> <p>and</p> <p>School representatives verify authorizer's response to guiding question and approvals have resulted in the promotion of high-quality charter schools</p> |

| B.2 SPECIFICATIONS   | LEVEL 0<br>Unsatisfactory or<br>Incomplete   | LEVEL 1<br>Approaching<br>Satisfactory   | LEVEL 2<br>Satisfactory  | LEVEL 3<br>Commendable   | LEVEL 4<br>Exemplary   |
|--|--|--|--|--|--|
| <p><b>Authorizers actively engaged in interim accountability decisions (i.e. expansions, new school openings or change in authorizer) in the last 5 years for existing schools</b></p> <p><b>Specific Data Sources</b></p> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> <li>Ready to open standards, processes and timelines to verify a school is ready to opening before serving students <i>if different than AAA*</i></li> <li>Expansion application policies, procedures, timelines and processes (including charter school application packet that covers, at a minimum, all elements found in this section) <i>if different than AAA*</i></li> <li>Change in authorizer application policies, procedures, timelines and processes (including charter school application packet that covers, at a minimum, all elements found in this section) <i>if different than AAA*</i></li> <li>If actively reviewed/accepted one or more site/grade level expansion applications, provide an example of a site/grade level expansion application review process (from beginning to end) including qualifications of individuals who reviewed the application and those who served on the interview committee, the authorizer's final decision and resulting actions and MDE's final decision*</li> <li>If approved one or more new charter school openings, provide an example of a ready to open determination (from beginning to end)*</li> <li>If review/accepted one or more transfer applications, provide an example of a transfer review process and determination (from beginning to end)*</li> <li>Documentation of recognition of national quality authorizing expansion application, ready to open and/or change in authorizer standards and designed to promote and/or resulted in high quality charter schools</li> </ul> <p><b>Weight</b><br/>10%</p> | <p>See above indicators</p> <p>and</p> <p>Authorizer interim accountability decisions are inconsistent with its criteria as stated in its AAA</p>  | <p>Level 2 indicators were met, but have only been established and/or implemented within the last 12 months</p> <p>or</p> <p>One or two Level 1 indicators</p>   | <p>Level 2 indicators were met for at least the last 12 months</p>   | <p>a) Level 2 indicators were met for at least the last two years</p> <p>and</p> <p>b) Interim accountability decisions have resulted in recognition of national quality authorizing standards</p> <p>and</p> <p>c) For at least the last 12 months interim accountability decisions reflects a clear strategy to promote high-quality charter schools</p> | <p>Level 2 indicators were met for at least three years</p> <p>and</p> <p>Level 3 specification b)</p> <p>and</p> <p>Level 3 specification c) have been met for at least the last two years</p> <p>and</p> <p>Authorizer practices are consistently verified externally from interviewed individuals</p> <p>and</p> <p>Decisions resulted in the promotion of high-quality charter schools</p> |
| <p><b>Authorizers with no interim accountability decisions (i.e. no expansions, new school openings or change in authorizer) in the last 5 years for existing schools</b></p> <p><b>Specific Data Sources</b></p> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> <li>Ready to open standards, processes and timelines to verify a school is ready to opening before serving students <i>if different than AAA*</i></li> <li>Expansion application policies, procedures, timelines and processes (including charter school application packet that covers, at a minimum, all elements found in this section) <i>if different than AAA*</i></li> <li>Change in authorizer application policies, procedures, timelines and processes (including charter school application packet that covers, at a minimum, all elements found in this section) <i>if different than AAA*</i></li> </ul> <p><b>Weight</b><br/>5%</p>   | <p>Approval criteria and process standards in its AAA are incompletely or insufficiently stated</p> <p>and</p> <p>Authorizer's AAA indicated they would run a process for seeking new charter schools and they have not followed their AAA</p> | <p>Authorizer's application processes are not comprehensive; do not include clear application questions and guidance; or do not include fair, transparent procedures and rigorous criteria</p> <p>or</p> <p>Authorizer's AAA indicated they would run a process for seeking new charter schools and they have not followed their AAA</p> | <p>Authorizer's application processes are comprehensive; include clear application questions and guidance; and include fair, transparent procedures and rigorous criteria</p> <p>and</p> <p>Authorizer's actions are aligned with plans presented in the AAA</p> | <p>Not applicable</p>  | <p>Not applicable</p>  |



**PERFORMANCE MEASURES B: AUTHORIZER PROCESSES AND DECISION MAKING  
AUTHORIZER PERFORMANCE CONTRACTING**

| B.3 MEASURE                                     | GUIDING QUESTION  | MEASURE ORIGIN   | EVALUATION DATA SOURCE  | LEVEL 0<br>Unsatisfactory or Incomplete  | LEVEL 1<br>Approaching Satisfactory   | LEVEL 2<br>Satisfactory   | LEVEL 3<br>Commendable   | LEVEL 4<br>Exemplary   |
|---|---|--|---|--|---|---|--|--|
| <b>Contract Term, Negotiation and Execution</b> | To what degree does the authorizer execute contracts that clearly define material terms and rights and responsibilities of the school and the authorizer? | <ul style="list-style-type: none"> <li>MN Statutes §124E.10 Subdivision 1</li> <li>MN Authorizer Application Standards</li> <li>NACSA Standard #3</li> </ul> | <ol style="list-style-type: none"> <li>MDE Analysis of New and Renewal Contracts</li> <li>Most Recently Approved Authorizer Application (AAA)</li> <li>Interview, Site Visits, Questionnaire</li> </ol> | <p>Contracts in authorizer's portfolio of charter schools do not meet current statutory requirements<br/><i>and</i></p> <p>Contracts in its portfolio do not clearly state the rights and responsibilities of the school and the authorizer<br/><i>and</i></p> <p>Authorizer's contracting practices are inconsistent across authorizer's portfolio of charter schools</p> | <p>Contracts in authorizer's portfolio of charter schools do not meet current statutory requirements<br/><i>and/or</i></p> <p>Contracts do not clearly state the rights and responsibilities of the school and the authorizer<br/><i>and/or</i></p> <p>Authorizer's contracting practices are inconsistent across authorizer's portfolio of charter schools</p> | <p>Contracts in authorizer's portfolio of charter schools meet current statutory requirements<br/><i>and</i></p> <p>Contracts clearly state the rights and responsibilities of the school and the authorizer<br/><i>and</i></p> <p>Authorizer's contracting practices are consistent across authorizer's portfolio of charter schools</p> | <p>Level 2<br/><i>and</i></p> <p>Authorizer clearly defines the role of the school and the authorizer, and executes contract amendments for material changes to current school plans when applicable</p> | <p>Level 3<br/><i>and</i></p> <p>School representatives verify authorizer's response to guiding question</p> |

| B.3 SPECIFICATIONS  | LEVEL 0<br>Unsatisfactory or Incomplete | LEVEL 1<br>Approaching Satisfactory  | LEVEL 2<br>Satisfactory  | LEVEL 3<br>Commendable   | LEVEL 4<br>Exemplary  |
|---|---|--|--|--|---|
| <p><b>Specific Data Sources</b></p> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> <li>An example of contracting negotiations (from beginning to end) and data to support the contracting decision*</li> <li>An example of a contract amendment including communications to the school regarding those amendments (if applicable)</li> </ul> <p><b>Weight</b><br/>10%</p> | See above indicator                     | <p>Level 2 indicators were met, but have only been established and/or implemented within the last 12 months<br/><i>or</i></p> <p>One or two Level 1 indicators</p> | <p>The following were met for at least the last twelve months:<br/>Level 2 indicators<br/><i>and</i></p> <p>Contracts were executed no later than the first day of the renewal period<br/><i>and</i></p> <p>Contracts were submitted to MDE within 10 business days of the first day of the renewal period</p> | <p>Level 2 specifications were met for at least the last two years<br/><i>and</i></p> <p>Level 3 indicator</p> | <p>Level 2 specifications were met for at least the last three years<br/><i>and</i></p> <p>Level 3 indicator<br/><i>and</i></p> <p>Authorizer practices are consistently verified externally from interviewed individuals</p> |

**PERFORMANCE MEASURES B: AUTHORIZER PROCESSES AND DECISION MAKING  
AUTHORIZER PERFORMANCE CONTRACTING (CONTINUED)**

| B.4 MEASURE                  | GUIDING QUESTION  | MEASURE ORIGIN   | EVALUATION DATA SOURCE  | LEVEL 0<br>Unsatisfactory or Incomplete  | LEVEL 1<br>Approaching Satisfactory   | LEVEL 2<br>Satisfactory  | LEVEL 3<br>Commendable   | LEVEL 4<br>Exemplary   |
|------------------------------|---|--|---|--|---|--|--|--|
| <b>Performance Standards</b> | To what degree does the authorizer execute contracts with clear, measurable and attainable performance standards? | <ul style="list-style-type: none"> <li>MN Statutes §124E.10 Subdivision 1</li> <li>MN Authorizer Application Standards</li> <li>NACSA Standard #3</li> </ul> | <ol style="list-style-type: none"> <li>MDE Analysis of New and Renewal Contracts beginning in 2014</li> <li>Most Recently Approved Authorizer Application (AAA)</li> <li>Interview, Site Visits, Questionnaire</li> </ol> | <p>Contracts in authorizer's portfolio of charter schools do not meet current statutory performance standards</p> <p>and</p> <p>Contracts misalign with the performance standards of its AAA</p> | <p>Contracts in authorizer's portfolio of charter schools do not meet current statutory performance standards</p> <p>and/or</p> <p>Authorizer's performance standards are inconsistent across authorizer's portfolio of charter schools</p> <p>and/or</p> <p>Contracts misalign with the performance standards of its AAA</p> | <p>Contracts in authorizer's portfolio of charter schools meet current statutory performance standards</p> <p>and</p> <p>Contracts define clear, measurable and attainable academic, financial and organizational performance standards, and consequences for meeting or not meeting performance standards</p> <p>and</p> <p>Contracts align with the performance standards of its AAA</p> | <p>Level 2</p> <p>and</p> <p>Authorizer executes contracts that align with nationally recognized quality performance standards and designed to promote high-quality charter school</p> | <p>Level 3</p> <p>and</p> <p>School representatives verify authorizer response to guiding question</p> |

| B.4 SPECIFICATIONS  |  |  |  | LEVEL 0<br>Unsatisfactory or Incomplete  | LEVEL 1<br>Approaching Satisfactory  | LEVEL 2<br>Satisfactory   | LEVEL 3<br>Commendable  | LEVEL 4<br>Exemplary  |
|---|--|--|--|--|--|---|---|---|
| <p><b>Specific Data Sources</b></p> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> <li>Authorizing framework for school academic, financial and operational performance standards <i>if different than AAA*</i></li> <li>Documentation of authorizing performance standards that align with nationally recognized quality authorizing standards and designed to promote and/or resulted in high quality charter schools</li> </ul> <p><b>Weight</b><br/>10%</p> |  |  |  | <p>See above indicators</p> <p>and</p> <p>Authorizer's performance standards are inconsistent across authorizer's portfolio of charter schools</p> | <p>Level 2 indicators were met, but have only been established and/or implemented within the last 12 months</p> <p>or</p> <p>One or two Level 1 indicators</p> | <p>For at least the last 12 months:</p> <p>Level 2 indicators were met</p> <p>and</p> <p>Performance standards are consistent across the portfolio of charter schools</p> | <p>a) Level 2 specifications have been met for at least the last two years</p> <p>and</p> <p>b) For at least the last 12 months authorizer's execution of contracts reflects a clear strategy to promote high-quality charter schools</p> | <p>Level 2 specifications have been met for at least the last three years</p> <p>and</p> <p>Level 3 specification b) have been met for at least the last two years</p> <p>and</p> <p>Authorizer practices are consistently verified externally from interviewed individuals</p> |

**PERFORMANCE MEASURES B: AUTHORIZER PROCESSES AND DECISION MAKING  
AUTHORIZER ONGOING OVERSIGHT AND EVALUATION**

| B.5 MEASURE   | GUIDING QUESTION  | MEASURE ORIGIN   | EVALUATION DATA SOURCE   | LEVEL 0<br>Unsatisfactory or Incomplete   | LEVEL 1<br>Approaching Satisfactory  | LEVEL 2<br>Satisfactory   | LEVEL 3<br>Commendable  | LEVEL 4<br>Exemplary   |
|---|---|--|--|---|--|---|---|--|
| <b>Authorizer's Processes for Ongoing Oversight of the Portfolio of Charter Schools</b> | To what degree does the authorizer monitor and oversee the charter schools in the areas of academics, operations, and finances according to the processes outlined in the contract and approved authorizer application? | <ul style="list-style-type: none"> <li>• MN Statutes §124E.05, Subd. 4(5)</li> <li>• MN Statutes §124E.10, Subd. 1(6)(7)</li> <li>• Authorizer Application Standards</li> <li>• NACSA Standard #4</li> </ul> | <ol style="list-style-type: none"> <li>1. Most Recently Approved Authorizer Application (AAA)</li> <li>2. Authorizer Annual Report</li> <li>3. Interview, Site Visits, Questionnaire</li> <li>4. State Portfolio Performance Data</li> </ol> | <p>Oversight processes in the AAA are incompletely or insufficiently stated</p> <p>and</p> <p>Authorizer's oversight and monitoring activities misalign with its stated oversight and monitoring processes in its AAA</p> | <p>AAA does not include clear processes for oversight and monitoring</p> <p>and/or</p> <p>Authorizer's oversight activities misalign with its stated oversight and monitoring processes in its AAA</p> | <p>AAA includes clear processes for oversight and monitoring</p> <p>and</p> <p>Authorizer conducts contract oversight that competently evaluates performance and monitors compliance; ensures charter schools' legally entitled autonomy; protects student rights; and informs intervention, termination, and renewal decisions</p> <p>and</p> <p>Authorizer's oversight activities align with its stated oversight and monitoring processes in its AAA</p> | <p>Level 2</p> <p>and</p> <p>Authorizer's oversight processes align with nationally recognized quality standards for authorizing and designed to promote high-quality charter schools</p> | <p>Level 3</p> <p>and</p> <p>School representatives verify authorizer response to guiding question and oversight has resulted in the promotion of high quality charter schools</p> |

| B.5 SPECIFICATIONS   | LEVEL 0<br>Unsatisfactory or Incomplete   | LEVEL 1<br>Approaching Satisfactory  | LEVEL 2<br>Satisfactory   | LEVEL 3<br>Commendable   | LEVEL 4<br>Exemplary   |
|--|---|--|---|--|--|
| <p><b>Specific Data Sources</b></p> <ul style="list-style-type: none"> <li>• Brief narrative response addressing guiding question and evidence*</li> <li>• Authorizer oversight plans, including required academic, financial and legal/organizational reporting by schools to the authorizer <b>if different than AAA*</b></li> <li>• An example of one school's ongoing oversight including oversight/monitoring report(s) (from beginning to end of a contract term)*</li> <li>• Documentation of authorizing oversight processes that align with nationally recognized quality authorizing standards and designed to promote and/or resulted in high quality charter schools</li> </ul> <p><b>Weight</b><br/>10%</p> | <p>See above indicator</p> <p>and</p> <p>Authorizer's oversight and monitoring practices are inconsistent across the portfolio of charter schools</p> | <p>Level 2 indicators were met, but have only been established and/or implemented within the last 12 months</p> <p>or</p> <p>One Level 1 indicator</p> <p>or</p> <p>Authorizer's oversight and monitoring practices are inconsistent across the portfolio of charter schools</p> | <p>For at least the last 12 months:</p> <p>Level 2 indicators were met</p> <p>and</p> <p>Authorizer's oversight and monitoring practices are consistent across the portfolio of charter schools</p> | <p>a) Level 2 specifications have been met for at least the last two years</p> <p>and</p> <p>b) For at least the last 12 months authorizer's processes for ongoing oversight of the portfolio of charter schools reflects a clear strategy to promote high-quality charter schools</p> | <p>a) Level 2 specifications have been met for at least the last three years</p> <p>and</p> <p>Level 3 specification b) have been met for at least the last two years</p> <p>and</p> <p>Authorizer practices are consistently verified externally from interviewed individuals</p> |

PR/Award # U282A17007

**PERFORMANCE MEASURES B: AUTHORIZER PROCESSES AND DECISION MAKING  
AUTHORIZER ONGOING OVERSIGHT AND EVALUATION (CONTINUED)**

| B.6 MEASURE   | GUIDING QUESTION   | MEASURE ORIGIN   | EVALUATION DATA SOURCE   | LEVEL 0<br>Unsatisfactory or Incomplete  | LEVEL 1<br>Approaching Satisfactory  | LEVEL 2<br>Satisfactory  | LEVEL 3<br>Commendable   | LEVEL 4<br>Exemplary   |
|---|--|--|--|--|--|--|--|--|
| <b>Authorizer's Standards and Processes for Interventions, Corrective Action and Response to Complaints</b> | To what degree does the authorizer have clear and comprehensive standards and processes to address complaints, intervention and corrective action? | <ul style="list-style-type: none"> <li>NACSA Standard #4</li> <li>MN Authorizer Application Standards</li> <li>Continuous Improvement Measure</li> </ul> | <ol style="list-style-type: none"> <li>Most Recently Approved Authorizer Application (AAA)</li> <li>Authorizer Annual Report</li> <li>Interview, Site Visits, Questionnaire</li> <li>State Portfolio Performance Data</li> </ol> | <p>Authorizer's standards and processes are incompletely or insufficiently stated in its AAA</p> <p>and</p> <p>Authorizer's standards and processes for complaints, intervention and corrective action misalign with its stated standards and processes in its AAA</p> | <p>AAA does not include clear standards and processes to address complaints, intervention and corrective action</p> <p>and/or</p> <p>Authorizer's standards and processes for complaints, intervention and corrective action misalign with its stated standards and processes in its AAA</p> | <p>AAA includes clear standards and processes to address complaints, intervention and corrective action</p> <p>and</p> <p>Authorizer consistently implements clear and comprehensive standards and processes to address complaints, intervention and corrective action</p> <p>and</p> <p>Authorizer's decisions and resulting actions are consistent across the portfolio and align with its stated standards and processes in its AAA</p> | <p>Level 2</p> <p>and</p> <p>Authorizer's standards and processes align with nationally recognized quality standards for authorizing</p> | <p>Level 3</p> <p>and</p> <p>School representatives verify authorizer response to guiding question</p> |

| B.6 SPECIFICATIONS   | LEVEL 0<br>Unsatisfactory or Incomplete   | LEVEL 1<br>Approaching Satisfactory  | LEVEL 2<br>Satisfactory  | LEVEL 3<br>Commendable  | LEVEL 4<br>Exemplary   |
|--|---|--|--|---|--|
| <p><b>Specific Data Sources</b></p> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> <li>Authorizer's standards and processes for interventions, corrective action and response to complaints <i>if different than AAA*</i></li> <li>Documentation of data collected and decision made regarding complaints, intervention and corrective actions for at least the last 12 months*</li> <li>Documentation of one complete example of a charter school's school improvement plan or notices of interventions put in place by authorizer*</li> <li>Documentation of authorizing standards and processes for interventions, corrective action and response to complaints that align with nationally recognized quality authorizing standards</li> </ul> <p><b>Weight</b><br/>10%</p> | <p>See above indicator</p> <p>and</p> <p>Authorizer inconsistently implements standards and processes to address complaints, intervention and corrective action</p> | <p>Level 2 indicators were met, but have only been established and/or implemented within the last 12 months</p> <p>or</p> <p>One Level 1 indicator</p> <p>or</p> <p>Authorizer inconsistently implements standards and processes to address complaints, intervention and corrective action</p> | <p>Level 2 indicators were met for at least the last 12 months</p> <p>and</p> <p>Decisions made regarding complaints, intervention and corrective action is aligned with data generated under oversight and monitoring practices</p> | <p>a) Level 2 specifications were met for at least the last two years</p> <p>and</p> <p>b) For at least the last 12 months authorizer's processes for ongoing oversight of the portfolio of charter schools reflects a clear strategy to promote high-quality charter schools</p> | <p>Level 2 specifications were met for at least the last three years</p> <p>and</p> <p>Level 3 specification b) have been met for at least the last two years</p> <p>and</p> <p>Authorizer practices are consistently verified externally from interviewed individuals</p> |

PR/Award # U282A 170007

**PERFORMANCE MEASURES B: AUTHORIZER PROCESSES AND DECISION MAKING  
AUTHORIZER ONGOING OVERSIGHT AND EVALUATION (continued)**

| B.7 MEASURE   | GUIDING QUESTION  | MEASURE ORIGIN   | EVALUATION DATA SOURCE  | LEVEL 0<br>Unsatisfactory or Incomplete           | LEVEL 1<br>Approaching Satisfactory  | LEVEL 2<br>Satisfactory   | LEVEL 3<br>Commendable  | LEVEL 4<br>Exemplary  |
|---|---|--|---|---|--|---|---|---|
| <b>Charter School Support, Development and Technical Assistance</b>   | To what degree does the authorizer support its portfolio of charter schools through intentional assistance and development offerings? | <ul style="list-style-type: none"> <li>Continuous Improvement Measure</li> </ul> | <ol style="list-style-type: none"> <li>Authorizer Annual Report</li> <li>Interview, Site Visits, Questionnaire</li> </ol> | Support and technical assistance is not available | Support and technical assistance is provided inconsistently<br><i>and/or</i><br>Only in response to problems                                   | Support and technical assistance is proactive<br><i>and</i><br>Provided in a variety of areas and in a manner to preserve school autonomy | Level 2<br><i>and</i><br>Support and technical assistance is regularly offered, based on demonstrated need and designed to prevent problems | Level 3<br><i>and</i><br>Support and technical assistance is designed to promote excellence |
| <b>B.7 SPECIFICATIONS</b>   |   |  |   | <b>LEVEL 0<br/>Unsatisfactory or Incomplete</b>   | <b>LEVEL 1<br/>Approaching Satisfactory</b>  | <b>LEVEL 2<br/>Satisfactory</b>   | <b>LEVEL 3<br/>Commendable</b>  | <b>LEVEL 4<br/>Exemplary</b>  |
| <b>Specific Data Sources</b> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence <i>if different than authorizer annual report submissions</i></li> <li>Documentation showing extent to which authorizer provided support and technical assistance, how the assistance addressed a need and/or helped prevent future problems</li> <li>Documentation of how the support, development and technical assistance is designed to promote excellence</li> </ul> <b>Weight</b><br>5% |   |  |   | See above indicator                               | Level 2 indicators were met, but have only been established and/or implemented within the last 12 months<br><i>or</i><br>One Level 1 indicator | Level 2 indicators were met within the last 12 months   | a) Level 2 specification<br><i>and</i><br>b) Level 3 indicator within the last 12 months  | Level 3 specifications<br><i>and</i><br>Level 4 indicator within the last 12 months         |

**PERFORMANCE MEASURES B: AUTHORIZER PROCESSES AND DECISION MAKING**  
**AUTHORIZER ONGOING OVERSIGHT AND EVALUATION (continued)**

| B.8 MEASURE  | GUIDING QUESTION   | MEASURE ORIGIN   | EVALUATION DATA SOURCE  | LEVEL 0<br>Unsatisfactory or Incomplete   | LEVEL 1<br>Approaching Satisfactory   | LEVEL 2<br>Satisfactory  | LEVEL 3<br>Commendable  | LEVEL 4<br>Exemplary  |
|--|--|--|---|---|---|--|---|---|
| <b>High Quality Charter School Replication and Dissemination of Best School Practices</b>  | To what degree does the authorizer plan and promote, within its portfolio, the model replication and dissemination of best practices of high performing charter schools? | <ul style="list-style-type: none"> <li>Continuous Improvement Measure</li> </ul> | <ol style="list-style-type: none"> <li>Authorizer Annual Report</li> <li>Interview, Site Visits, Questionnaire</li> </ol> | There is no evidence of successful model replication or dissemination of best practices | There is no intentional plan for successful model replication and dissemination of best practices | There is a clear plan for successful model replication and dissemination of best practices and models/practices have been identified | Level 2<br><i>and</i><br>Identified models/practices are moving toward replication/ dissemination               | Level 3<br><i>and</i><br>Identified models/practices have been replicated/disseminated  |
| <b>B.8 SPECIFICATIONS</b>  |  |  |   | <b>LEVEL 0<br/>Unsatisfactory or Incomplete</b>   | <b>LEVEL 1<br/>Approaching Satisfactory</b>   | <b>LEVEL 2<br/>Satisfactory</b>  | <b>LEVEL 3<br/>Commendable</b>  | <b>LEVEL 4<br/>Exemplary</b>  |
| <b>Specific Data Sources</b> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence <i>if different than authorizer annual report submissions</i></li> <li>Plan for promoting the model replication and dissemination of best practices of high performing charter schools</li> <li>Documentation of models being replicated and practices being disseminated</li> </ul> <b>Weight</b><br>5% |  |  |   | See above indicator   | See above indicator   | Level 2 indicator was met within the last 12 months  | Level 2 specification<br><i>and</i><br>One or more models/practices are moving toward replication/dissemination | Level 3 specifications<br><i>and</i><br>One or more models/practices have been realized |

**PERFORMANCE MEASURES B: AUTHORIZER PROCESSES AND DECISION MAKING  
AUTHORIZER RENEWAL AND DECISION MAKING**

| B.9 MEASURE  | GUIDING QUESTION  | MEASURE ORIGIN  | EVALUATION DATA SOURCE  | LEVEL 0 Unsatisfactory or Incomplete  | LEVEL 1 Approaching Satisfactory  | LEVEL 2 Satisfactory  | LEVEL 3 Commendable  | LEVEL 4 Exemplary   |
|--|---|---|---|---|---|---|--|---|
| <b>Charter School Renewal or Termination Decisions</b> | <p>To what degree does the authorizer have clear and comprehensive standards and processes to make high stakes renewal and termination decisions?</p> <p>To what degree do the authorizer's renewal and termination decisions align to its stated renewal standards and processes and promote the growth of high-quality charter schools?</p> | <ul style="list-style-type: none"> <li>MN Statutes §124E.05, Subd. 3(a)(5)</li> <li>MN Statutes §§124E.10, Subd. 1(a)(13) and Subd. 1(a)(14)</li> <li>MN Authorizer Application Standards</li> <li>NACSA Standard #5</li> </ul> | <ol style="list-style-type: none"> <li>Most Recently Approved Authorizer Application (AAA)</li> <li>MDE Analysis of Renewal Contracts</li> <li>MDE review of requests</li> <li>Interview, Site Visits, Questionnaire</li> <li>State Portfolio Performance Data</li> <li>Authorizer Annual Report</li> </ol> | <p>Renewal standards and processes in its AAA are incompletely or insufficiently stated</p> <p><i>and</i></p> <p>Authorizer's decisions and resulting actions are inconsistent across the portfolio</p> <p><i>and</i></p> <p>Authorizer's decisions and resulting actions misalign with its AAA</p> | <p>AAA does not have transparent and rigorous standards and processes designed to use comprehensive academic, financial, operational and student performance data to make merit-based renewal decisions and terminate charters when necessary to protect student and public interests</p> <p><i>and/or</i></p> <p>Authorizer's decisions and resulting actions are inconsistent across the portfolio</p> <p><i>and/or</i></p> <p>Authorizer's decisions and resulting actions misalign with its AAA</p> | <p>AAA has transparent and rigorous standards and processes designed to use comprehensive academic, financial, operational and student performance data to make merit-based renewal decisions and terminate charters when necessary to protect student and public interests</p> <p><i>and</i></p> <p>Authorizer's decisions and resulting actions are consistent across its portfolio of charter schools</p> <p><i>and</i></p> <p>Authorizer's decisions and resulting actions align with its AAA</p> | <p>Level 2</p> <p><i>and</i></p> <p>Authorizer's renewal standards and processes align with nationally recognized quality standards for authorizing and designed to promote high-quality charter schools</p> | <p>Level 3</p> <p><i>and</i></p> <p>School representatives verify authorizer's response to guiding question and renewals have resulted in the promotion of high-quality charter schools</p> |

| B.9 SPECIFICATIONS   | LEVEL 0<br>Unsatisfactory or<br>Incomplete | LEVEL 1<br>Approaching<br>Satisfactory   | LEVEL 2<br>Satisfactory                                     | LEVEL 3<br>Commendable  | LEVEL 4<br>Exemplary  |
|--|--|--|---|---|---|
| <p><b>Specific Data Sources</b></p> <ul style="list-style-type: none"> <li>Brief narrative response addressing guiding question and evidence*</li> <li>Documentation of authorizer's renewal standards and processes <i>if different than AAA*</i></li> <li>An example of contract renewal review process and determination (from beginning to end)*</li> <li>An example of contract termination decision, if applicable, including intervention processes (from beginning to end)*</li> <li>Documentation of authorizing renewal and termination standards and processes that align with nationally recognized quality authorizing standards</li> <li>Documentation of how the authorizer is promoting high quality charter schools</li> </ul> <p><b>Weight</b><br/>20%</p> | See above indicators                       | <p>Level 2 indicators were met, but have only been established and/or implemented within the last 12 months</p> <p>or</p> <p>One or two Level 1 indicators</p> | Level 2 indicators were met for at least the last 12 months | <p>a) Level 2 indicators were met for at least the last two years</p> <p>and</p> <p>b) For at least the last 12 months authorizer's renewal standards and processes reflects a clear strategy to promote high-quality charter schools</p> | <p>Level 2 indicators were met for at least three years</p> <p>and</p> <p>Level 3 specification b) have been met for at least the last two years</p> <p>and</p> <p>Decisions resulted in the promotion of high-quality charter schools</p> <p>and</p> <p>Authorizer practices are consistently verified externally from interviewed individuals</p> |



**COMPETITIVE – 859 – FEDERAL – STATE FISCAL YEAR 2017  
CHARTER SCHOOLS PROGRAM START-UP GRANT OPPORTUNITY  
INSTRUCTIONS**

**INTRODUCTION MEMO**

**TO:** Minnesota's Developing and Newly Operational Charter Schools

**FROM:** Jennifer R. Nelson, Director, Charter Center  
Kevin McHenry, Assistant Commissioner

**ACTION:** Signed and submitted applications must be received (not postmarked) by **3:30 p.m. Central Standard Time on Wednesday, January 25, 2017**

**PURPOSE AND OUTCOME OF THE GRANT OPPORTUNITY**

The Minnesota Department of Education's (MDE) Charter Center is accepting Charter School Start-Up grant applications from developing and newly operational charter schools. Federal Charter School Program grants provide federal financial start-up assistance for planning, program design and the initial implementation of new charter schools.

**ELIGIBILITY CRITERIA**

This competitive grant opportunity is open to developing and new charter schools that are not currently funded under Minnesota's Federal CSP Grant Project and are governed by a school board that includes at least one individual currently licensed to teach in the state of Minnesota. Eligible applicants must: 1) meets the provisions of Minnesota statutes on the formation of a school and have a commissioner-approved new charter school affidavit ([See Minnesota Statutes, section 124E.06, Subdivision 1 - Subdivision 4](#)); or 2) operate a new Minnesota charter school in its first two years of operation.

**FUNDING AVAILABLE**

Up to \$2,000,000 for SFY 2017 sub grant awards is available using federal year 2012 grant funds from Title V, Part B, Subpart 1 – Charter School Programs (CSP), CFDA 84.282A. The Charter Center anticipates awarding approximately 10 sub grants, with a minimum anticipated grant award of \$100,000 and a maximum anticipated grant award of \$200,000 for a new school planning grant. Available funds will be split between the CSP Start-Up Grant Opportunity and a CSP Significant Expansion or Replication Grant Opportunity.

MDE reserves the right to offer more or less than \$200,000 or the amounts requested by applicants and award more or less than 10 sub grants. ***The availability of this funding is contingent on MDE's receipt of a no-cost extension that extends its grant award through February 28, 2018.***

## **ESTIMATED GRANT PERIOD**

The grant period is anticipated to begin March 2017 and end February 28, 2018. Project period start and end dates may vary by sub grantee. ***Applicants should carefully consider their ability to expend funds during a shortened time frame and note that a successful applicant must have an MDE.ORG number by the time the grant award is offered in order to execute a grant agreement.*** MDE reserves the right to award continuation (Implementation) grant awards (up to two years) to selected projects contingent on future federal funding for this initiative and a grantee's progress made during the initial grant period.

## **STATE'S RIGHT TO CANCEL**

This grant opportunity does not obligate the state to award a contract and the state reserves the right to cancel the solicitation if it is considered to be in its best interest due to lack of funding, agency priorities or other considerations.

## **GENERAL INFORMATION SECTION**

### **PROJECT FUNDING AND BACKGROUND**

#### **Purposes of Federal Charter Schools Program Grant (CSP) Project**

- To increase national understanding of the charter schools model
- To expand the number of high-quality charter schools available to students across the nation by providing financial assistance for planning, program design and initial implementation of new charter schools

#### **Allowable Activities under the Federal CSP Grant Project**

An eligible applicant receiving a grant under this program may use the grant funds only for:

- Post-award planning and design of the educational program, which may include:
  - Refinement of the desired educational results and of the methods for measuring progress toward achieving those results
  - Professional development of board members, teachers and other staff who will work in the charter school
- Initial implementation of the charter school, which may include:
  - Informing the community about the school
  - Acquiring necessary equipment and educational materials and supplies
  - Acquiring or developing curriculum materials
  - Other initial start-up costs that cannot be met from state or local sources

#### **Funding Preference Priorities**

Applicants must address one or more federal CSP preference priorities:

- Replicating high-performing models
- Improving high school achievement and graduation rates
- Promoting diversity
- Improving productivity

## State Education Priorities

Applicants must also address one or more state education priorities under [Governor Dayton's 7-Point Plan: Better Schools for a Better Minnesota](#):

- Reading Well by Third Grade
- Raise the Bar – Close the Gap
- Meeting High Standards Across Content Areas
- High School Graduation, College and Career Ready
- Support Teaching for Better Schools

## TECHNICAL ASSISTANCE IN-PERSON TRAINING FOR APPLICANTS

An in-person technical assistance training will be offered to applicants on Monday, December 19, 2016 from 1:00 p.m. – 4:00 p.m. Central Standard Time at the Minnesota Department of Education in Roseville, Conference Center A, Room 13. All applicants are strongly encouraged to participate. The training will review each section of the grant proposal application including the type of information being sought, the depth of detail necessary and the importance of various elements.

Up to two people from each approved charter school or representatives of a new charter school affidavit currently under review by MDE are encouraged to attend. To register for this training, please email [mde.charterschools@state.mn.us](mailto:mde.charterschools@state.mn.us) by Thursday, December 15, 2016. Please include attendee names, contact information and the name of the new/developing school represented.

Attendees are strongly encouraged to begin drafting their schools' CSP proposal in advance of the training. Attendees will find it helpful to bring along proposal drafts (electronic) and laptop computers. Foundational documents for the school and documents related to the new school may be helpful to bring. Some work time may be included as time permits, and applicants may also consider attending the work session described below.

## GRANT APPLICATION WORK SESSION

An informal work session for applicants will be held on Wednesday, January 11, 2017 from 9:00 a.m.–11:30 a.m. Central Standard Time at the Minnesota Department of Education in Roseville, Conference Center A, Room 1 & 2. Applicants will have the opportunity to work independently on proposals and ask questions. While specific questions will be addressed, **proposal drafts will not be reviewed by MDE personnel**. To register for this work session, please email [mde.charterschools@state.mn.us](mailto:mde.charterschools@state.mn.us) by Friday, January 6, 2017. Please send the attendee names, contact information, and the name of the new/developing charter school represented.

## GENERAL EXPECTATIONS OF GRANTEEES

- Must submit expenditure and program progress reports by the dates indicated in the Official Grant Award Notification (OGAN).
- Must maintain a ledger to track the grant budget expenditures and payment reimbursements plus all documents that support your budget line item expenses.
- Must have a conflict of interest policy.

- Must use the Uniform Financial Accounting and Reporting Standards (UFARS) and the financial reporting forms provided by the department.
- Must provide MDE with any information that is necessary within the timelines specified so MDE may conduct their reporting under the Federal Funding Accountability and Transparency Act (FFATA). Refer to the [federal site for more information on this Act](#). The department will contact you if additional information is necessary.

Prior to executing the grant award document (OGAN), MDE will conduct a pre-award risk assessment to consider your capacity to successfully administer the grant. Potential grantees must cooperate with MDE if documentation is requested in order to complete this assessment.

For a grant over \$50,000, one monitoring visit per grant period is required and an annual visit is required on grants over \$250,000. Monitoring visits may be conducted in person or over the phone. In addition, financial reconciliations of grantees' expenditures must be conducted at least once during the grant period on grants over \$50,000.

## APPLICANT QUESTIONS

The following Program Contact is available to provide additional information or answer questions:

Jennifer R. Nelson  
[mde.charterschools@state.mn.us](mailto:mde.charterschools@state.mn.us)  
 651-582-8791

Questions must be submitted to the program contact through email by 11:59 p.m. Central Standard Time on Monday, January 11, 2017. A question and answer document will be published on the [grant opportunity site](#) under open grant opportunities after Wednesday January 13, 2017, 3:30 p.m. Central Standard Time.

Questions related to the grant opportunity may **only** be answered by MDE's Program Contact identified above or her successor. Information received from an unauthorized source is not binding and could result in misinformation.

## RESOURCES FOR APPLICANTS

### Minnesota's Charter School Law

- Access [Minnesota Statutes, Chapter 124E](#)

### Minnesota Department of Education (MDE)

- Access the [Minnesota Department of Education's webpage](#)
- Access [MDE's charter schools page](#)

### U.S. Department of Education; Office of Innovation & Improvement

- Access [federal public charter schools program site](#)
- Access the [Elementary and Secondary Education Act of 1965, as amended, Title V, Part B, Subpart 1 - Public Charter Schools](#)

- [Non-Regulatory Guidance Handbook on Charter Schools Program](#)

### **State of Minnesota**

- [Office of the Minnesota Attorney General – Charities Division](#)
- [Office of the Minnesota Secretary of State - Nonprofits](#)

### **Minnesota Resource Organizations**

- [Minnesota Association of Charter Schools](#)
- [Center for School Change](#)
- [Charter School Partners](#)
- [Minnesota School Board Association](#)
- [Minnesota Council of Nonprofits](#)

### **National Resource Organizations**

- [National Charter School Resource Center](#)
- [National Alliance for Public Charter Schools](#)
- [National Association of Charter School Authorizers](#)

### **UFARS Reporting**

Minnesota school districts and charter schools must report their expenditures under the guidelines in the Uniform Financial Accounting and Reporting System. Learn more about [UFARS and access the UFARS manual](#).

### **Capital Assets**

- Read the [Capital Assets Guide](#)

### **Federally Funded Grants**

- Federal Guidance

Please refer to the federal office of management and budget guidance for cost principles for state, local and Indian tribal governments, institutions of higher education and nonprofit organizations. Information can be accessed below at the [electronic code of federal regulations](#).

- **Indirect Rates for Minnesota Public Schools plus Charter Schools and Education Cooperatives**

Information on school district and LEA current fiscal year indirect cost rates can be access by clicking on Guidance and Reports under the [school finance and financial management site](#) then scrolling down on that page.

### **State Travel Plan**

Commissioner's Travel Reimbursement Plan: Access [current mileage rates and reimbursement rates for lodging](#) (Chapter 15 and Appendix H).

## LETTER OF INTEREST

Eligible new charter schools interested in applying for the State Fiscal Year 2017 – Charter School Program (CSP) Start-Up Grant opportunity are asked to email a Letter of Interest to [mde.charterschools@state.mn.us](mailto:mde.charterschools@state.mn.us) by **Thursday, January 5, 2017**.

## GUIDE TO GRANT APPLICATION

Please read the application materials carefully and follow all instructions. Please refer to the **Application Components Section** and the chart below for details and suggested page limits.

### Required Application Sections and Attachments

| Forms and Attachments  |
|--|
| Application Cover Sheet with Assurances  |
| Authorizer Declaration of Support Form   |
| Charter School Information Form  |
| Charter School Board Member/Developer Contact Information                      |
| Charter/Educational Management Organization (CMO/EMO) Contract (if applicable) |
| Waiver Request (if applicable)   |
| Work Plan Narrative – Up to 38 double spaced pages (see below)                 |
| Budget – Excel Workbook  |

| Work Plan Narrative           | Suggested Page Limit – total 38 double spaced |
|-------------------------------|---|
| Executive Summary             | 2   |
| Educational Program           | 10  |
| Accountability Goals          | 4   |
| Federal Preference Priorities | 5   |

| Work Plan Narrative             | Suggested Page Limit – total 38 double spaced |
|---------------------------------|---|
| State Education Priorities      | 3   |
| Governance and Management       | 7   |
| Parent and Community Engagement | 2   |
| Marketing and Outreach          | 3   |
| Authorizer                      | 2   |

## APPLICATION SUBMISSION AND SIGNATURE

Applications must be received by (not postmarked) by **Wednesday, January 25, 2017 at 3:30 p.m. Central Standard Time** to be considered. Late applications will not be considered and will be returned unopened to the submitting party.

- Faxed or emailed applications will not be accepted or reviewed. Delivery service methods are suggested for tracking purposes.
- A total of **six** copies of the application should be submitted (**signed/dated original plus five copies**).
- The Application Cover Sheet must be signed to certify agreement to comply with assurances.
- The **original** signed/dated application must be single-sided, the five copies may be double-sided. Please use the template provided.
- The Authorizer Declaration of Support Form must be included.
- Please include the name of your school and number all pages in the footer of the application template.
- MDE prefers the use of Arial 11 font.
- Do not place copies in folders or binders.
- We are unable to consider audio-visual materials with the proposal. Do not send any material that must be returned.

Mail or deliver the application to:

Pamela Jones, Grant Services



Please retain an electronic copy of your application and budget (Word version of proposal narrative, Excel version of budget). Applicants considered for funding will be provided additional technical assistance to fully develop the budget after the peer review process is completed.

**Important:** The grant application is to be original work of the applying program. If a source is used, the materials that are paraphrased or copied **must be cited appropriately**.

Costs associated with preparing the application must be borne by the applicant. The burden of proof of timely submission is on the applicant.

## ***APPLICATION SCREENING AND REVIEW***

### **Phase 1: Screening**

Applications that meet the following criteria will be forwarded for the Phase 2 review:

- a) Application is received (not postmarked) by the due date and time
- b) Received from an applicant that is eligible to apply
- c) Includes all required forms, work plan narrative and budget document

### **Phase 2: Applications Reviewed and Rated by Peers**

Applications are reviewed by a peer review panel based on the criteria outlined in the application component section. The peer review team provides review feedback and scores to Charter Center management and program staff.

### **Phase 3: Notifications, Clarifications, Risk Assessments and Grant Awards**

Ratings, scores and evaluative comments from the peer review panel contribute to funding decisions.

Clarifications may be necessary before the awards are granted which may result in a delay of a grant award. Applicants being considered for funding will be provided additional instruction and technical assistance to develop a detailed budget after the peer review process is completed.

Applicants selected for funding will be notified as soon as possible and

- May receive a full or partial award, depending on the availability of funds, the number of awardees, number of students served or other factors. Funding ranges possible over a maximum three phase grant award are:

|                  |                       |
|------------------|-----------------------|
| Planning         | \$100,000 - \$200,000 |
| Implementation 1 | \$100,000 - \$225,000 |
| Implementation 2 | \$100,000 - \$225,000 |

- Must wait until they receive the signed Official Grant Award Notification (OGAN) **before** providing any services or incurring any expenditure(s). **\*Any expenses incurred prior to the full execution of the OGAN, or other award documentation, are not reimbursable and are the sole responsibility of the applicant/grantee.**

**Important:** A federal CSP grant cannot be awarded until a new charter school is incorporated with the State of Minnesota, fully chartered through a contract between the school and authorizer and an MDE organization number assigned.



# **GRANT APPLICATION COMPONENTS CHARTER SCHOOLS PROGRAM START-UP GRANT OPPORTUNITY INSTRUCTIONS**

## **APPLICATION COVER SHEET**

The application cover sheet must be completed and include contact information, ID numbers and signatures as well as all other applicable information.

- **Name of Legal Applicant:** (legal name of charter school)
- **SWIFT VENDOR ID Number:** To get a SWIFT Vendor Number, go to [Minnesota Management and Budget site](#). This number must be obtained before an Official Grant Award Notification (OGAN) can be executed with a successful applicant. If not obtained at the time of application submission, indicate “In Progress.”
- **DUNS number:** [Register for a DUNS number](#). This number must be obtained before an award can be made to an applicant. If not obtained at the time of application submission, indicate “In Progress.”
- **MDE Organization site number:** (district/LEA/charter school number 4-digit number that begins with 4 – 4XXX) if already assigned to charter school, otherwise, leave blank.
- **Total grant amount requested** for the 2017 Planning or Implementation Grant project year
- Contact information for Identified Official with Authority (see below)

## **IDENTIFIED OFFICIAL WITH AUTHORITY**

The Identified Official with Authority is the person with legal authority to sign legal documents on behalf of the organization.

- For charter schools, the chair of the school’s board of directors must sign as the Identified Official with Authority. If the school is not yet incorporated the person most likely to become the school’s board chair should sign. The identified official must apply their signature to the Application Cover Sheet to demonstrate agreement to comply with assurances.
- The Identified Official with Authority must have no conflict(s) of interest with any party (employee, contractor, vendor, etc.) that has a financial interest in the grant award.
- The Identified Official with Authority must not be compensated or benefit financially, in any way, through a federal CSP grant.

## **PROGRAM CONTACT INFORMATION**

Complete only if the contact person is different than the Identified Official with Authority.

## **BUSINESS MANAGER/ACCOUNTING CONTACT INFORMATION**

Complete with available information.

## **ASSURANCES – STANDARD AND PROGRAM-SPECIFIC**

Your signature on the application Cover Sheet certifies that you have read the application and the assurances in their entirety and that you understand that you must comply with all the terms and conditions--including additional federal, state and local laws or ordinances--in the

performance of this award. The assurances are integrated into the application and **must be** submitted with the application.

**AUTHORIZER DECLARATION OF SUPPORT FORM**

Complete the form provided in the application template. It must be signed by the Authorizer Liaison.

**CHARTER SCHOOL INFORMATION FORM**

Complete the form provided in the application template.

**CHARTER SCHOOL BOARD MEMBER/DEVELOPER CONTACT INFORMATION**

Complete the form provided in the application template. Ensure that ALL individuals involved with the school’s development, grant application, and/or board are included.

**WORK PLAN NARRATIVE**

Below are the criteria/elements that must be included in the work plan narrative. Build the narrative in the application template section of the grant opportunity. Follow instructions carefully and do not exceed recommended page counts. MDE recommends the use of Arial 11-point font.

**RATING GUIDE**

The following guide will be used by reviewers to evaluate and rate each section and the proposal as a whole. Each narrative question has a weighted point value between 10 and 25 points.

| Point Value of Question | Inadequate | Fair | Satisfactory | Good  | Excellent |
|-------------------------|------------|------|--------------|-------|-----------|
| 25 Points               | 0-4        | 5-9  | 10-14        | 15-19 | 20-25     |
| 20 Points               | 0-3        | 4-8  | 9-11         | 12-15 | 16-20     |
| 15 Points               | 0-3        | 4-6  | 7-9          | 10-12 | 13-15     |
| 10 Points               | 0-2        | 3-4  | 5-6          | 7-8   | 9-10      |

|                  | <b>Inadequate</b>            | <b>Fair</b>             | <b>Satisfactory</b>                | <b>Good</b>                       | <b>Excellent</b>                            |
|------------------|------------------------------|-------------------------|------------------------------------|-----------------------------------|---|
| <b>Complete?</b> | Addresses few or no criteria | Addresses some criteria | Adequately addresses most criteria | Adequately addresses all criteria | More than Adequately addresses all criteria |

|  | <b>Inadequate</b>   | <b>Fair</b>  | <b>Satisfactory</b>   | <b>Good</b>  | <b>Excellent</b>   |
|--|---|--|---|--|--|
| <b>Strength of response?</b>   | Important weaknesses outweigh strengths   | Some strengths, but some important weaknesses  | Strengths outweigh weaknesses   | Key strengths far outweigh weaknesses  | Key strengths and only minor or no weaknesses  |
| <b>Potential for high-performing charter school that will meet federal CSP grant goals and priorities?</b> | Low: This rating applies to a response that contains a number of weaknesses that are likely to adversely impact the development and operation of a high-performing charter school that will meet the goals and priorities of this grant opportunity | Questionable: This rating applies to a response that contains some strengths, but some weaknesses are likely to adversely impact the development and operation of a high-performing charter school that will meet the goals and priorities of this grant opportunity | Possible: This rating applies to a response that contains some weaknesses, but, neither singly or collectively, are they likely to adversely impact the development and operation of a high-performing charter school that will meet the goals and priorities of this grant opportunity | Likely: This rating applies to a response that can be characterized overall as likely to lead to the development of a high-performing charter school that will meet the goals and priorities of this grant opportunity | Very Likely: This rating applies to a response that can be characterized overall as very likely to lead to the development of a high-performing charter school that will meet the goals and priorities of this grant opportunity |
| <b>Eligibility</b>   | A rating of "inadequate" in any section may render the application ineligible for funding   | A rating of "fair" in any section could render the application ineligible for funding  |   |  |  |

**EXECUTIVE SUMMARY – NOT SCORED**

*Please limit your response to approximately **two** pages.*

Instructions: *Provide a summary that identifies a compelling need for the new school and addresses each of the following for the proposed new school:*

- Mission and vision
- Statutory purposes
- Grade levels and total number of students to be served
- Intended location
- Educational philosophy and instructional approach
- Plans to improve pupil learning and student achievement and meet or exceed the outcomes adopted by the commissioner for public school students

## **EDUCATIONAL PROGRAM – 25 POINTS**

*Please limit your response to approximately 10 pages.*

Instructions: *Describe the educational program that will be implemented, the proposed daily schedule and school calendar. Discuss how the new charter school will eliminate disparities for racial and ethnic groups, and how it will comply with sections [613\(a\)\(5\)](#) and [613\(e\)\(1\)\(B\)](#) of the [Individuals with Disabilities Education Act](#).*

*A complete response will have the following characteristics:*

- Complete, coherent educational program is fully described that presents clear plans to improve student academic achievement.
- Convincing research and data are provided that clearly support the use of the educational program for the students targeted by the school, including the curriculum and instructional practices to be used.
- The program is clearly designed to support state academic content standards and how the program will enable all students to meet challenging state student academic achievement standards.
- Job-embedded professional development initiatives are described that are likely to sufficiently prepare teachers to deliver the school's unique program to the targeted student population.
- School schedule and calendar provide sufficient opportunity to effectively deliver the proposed educational program and meet state requirements for minimal instructional hours ([Minn. Stat. §§ 124E.03, Subd. 6](#) and [120A.41](#)):
- A description of a student's "typical day" experience
- A snapshot of the school's proposed daily/weekly schedule that includes length of day

- A snapshot of the school’s proposed school year calendar that includes total annual instructional hours.
- Plans for serving students with special needs demonstrates evidence of understanding legal requirements:
  - The applicant describes how it will appropriately serve students in the least restrictive environment
  - The applicant describes how it will employ or contract with appropriately licensed special education director, teachers, specialists, etc.
  - The applicant describes how an appropriate Child Find process will be used.
- Equity and Inclusion plan demonstrates understanding of the challenges to academic achievement for students in racial and ethnic groups and/or with disabilities.

## **ACCOUNTABILITY GOALS AND OUTCOMES – 10 POINTS**

*Please limit your response to approximately **four** pages.*

Instructions: *State **up to six** academic and nonacademic goals/outcomes that are included in the charter contract between the new charter school and its authorizer (“project objectives” for the purposes of this grant project). NOTE: If addressing the federal CSP preference priority of Improving Achievement and High School Graduation Rates, present **at least one** accountability goal designed to improve the academic and postsecondary success of high school students that has specific benchmarks to be achieved by the end of the federal CSP sub grant project (see page 2 for federal preference priorities)*

*A complete response will have the following characteristics:*

- Measurable academic achievement goals that focus on improved student achievement are provided.
- Presented goals address the expectations of a high-quality charter school (academic proficiency, academic growth and/or graduation rate).
- If addressing the federal CSP preference priority of Improving Achievement and High School Graduation Rates, at least one accountability goal designed to improve the academic and postsecondary success of high school students is included.
- The applicant describes approach related to achieving the goals of the [World’s Best Workforce](#).
- A strong plan for how the school will use assessment data to effect teaching and learning to improve *all* pupil learning and *all* student achievement is described.

## **FEDERAL CSP PREFERENCE PRIORITIES – 10 POINTS**

*Please limit your response to approximately **five** pages.*

Instructions: *Describe how the new charter school addresses **one or more** of the following federal CSP preference priorities:*

### ***Replicating High-Performing Models***

The applicant proposes to design a school to replicate, in whole or in part, a high-performing model from Minnesota or another state:

- Present compelling data to justify why the identified school is high-performing
- Describe the aspects of the successful model the new school intends to replicate
- Articulate plans to ensure the replication is implemented with fidelity to increase the likelihood of success.

### ***Improving Achievement and High School Graduation Rates***

The applicant articulates plans to accelerate learning and help improve high school graduation rates and/or college enrollment rates for:

- Students with disabilities; and/or,
- English language learners.

And/or by designing a school:

- That will qualify as a rural local education agency (as defined below); or,
- That will qualify as a high-poverty school (as defined below).

And the applicant proposes at least one accountability goal, with specific benchmarks to be achieved by the end of the federal CSP sub grant project, which is designed to improve the academic and postsecondary success of high school students.

### ***Promoting Diversity***

The applicant proposes a school that is designed to promote student diversity. Specifically, sub grant applicants will articulate marketing, outreach and recruitment strategies to:

- Reach families traditionally less informed about education options
- Connect with educationally and economically disadvantaged and hard-to-reach populations
- Avoid racial isolation or the “re-segregation” of schools in the community to be served.

### ***Improving Productivity***

The applicant proposes strategies to improve productivity. Specifically, sub grant applicants articulate intentional strategies designed to significantly increase efficiency in the use of time, staff, money or other resources to address one or more of the following state purposes for charter schools:

- Improve all pupil learning and all student achievement
- Increase learning opportunities for pupils
- Encourage the use of different and innovative teaching methods
- Measure learning outcomes and create different and innovative forms of measuring outcomes
- Establish new forms of accountability for schools
- Create new professional opportunities for teachers, including the opportunity to be responsible for the learning program at the school site.

Definitions:

**High-poverty school** means a school in which at least 50 percent of students are eligible for free or reduced-price lunches under the [Richard B. Russell National School Lunch Act](#) or in which at least 50 percent of students are from low-income families as determined using one of the criteria specified under [section 1113\(a\)\(5\) of the ESEA](#).

**Rural local educational agency** means an LEA that is eligible under the Small Rural School Achievement (SRSA) program or the Rural and Low-Income School (RLIS) program authorized under Title VI, Part B of the ESEA. Eligible applicants may determine whether a particular LEA is eligible for these programs by referring to information on the U.S. [Department of Education's website](#).

*Please note:* An applicant may respond to one or more federal and state CSP preference priorities in the context of other sections of the Work Plan Narrative. As applicable, the response to these sections should summarize key points and then clearly indicate where in the narrative the federal or state CSP priority preference is addressed (reference the section, page numbers, etc.).

## STATE EDUCATION PRIORITIES – 10 POINTS

*Please limit your response to approximately **three** pages.*

Instructions: *Applicants must address **one or more** state education priorities under Governor Dayton's 7-Point Plan: Better Schools for a Better Minnesota and Minnesota Department of Education goals. Refer to [Governor Dayton's 7-Point Plan: Better Schools for a Better Minnesota](#):*

*A complete response will have the following characteristics:*

### **Reading Well by Third Grade**

The applicant articulates plans to accelerate learning and ensure all students are reading well by third grade.

### **Raise the Bar – Close the Gap**

The applicant articulates plans to decrease achievement gaps by ensuring academic achievement targets are met.

### ***Meeting High Standards Across Content Areas***

The applicant articulates plans to put state academic standards into place so all students have access to high-quality content and instruction.

### ***High School Graduation, College and Career Ready***

The applicant articulates plans to graduate students on time and prepare students for post-secondary success.

### ***Support Teaching for Better Schools***

The applicant articulates plans to establish a robust professional development system and evaluate teacher performance.

## **GOVERNANCE AND MANAGEMENT – 25 POINTS**

*Please limit your response to approximately **seven** pages.*

*Instructions: Please provide information on how the new charter school will be governed and managed.*

*A complete response will:*

- Describe the school founders and demonstrate that the school founders are well-positioned to develop, plan and implement a new high-performing charter school. The founding group:
  - Has capacity to oversee the successful development and implementation of the educational program presented in the application
  - Has capacity to oversee the effective and responsible management of public funds
  - Has capacity to oversee and be responsible for the school's compliance with its legal obligations
  - Has experience and expertise that includes K-12 education, legal compliance, real estate and facilities, school financial management and accounting, fundraising and development, community engagement and parent involvement
  - Will generally have the capacity to found and sustain a high-performing public school.
- Describe the school's governance plans and how the board will ensure effective, accountable and representative governance over the school's operations:
  - Demonstrates a clear understanding of the roles and responsibilities of a charter school board, including oversight of a management organization or comprehensive service provider (if applicable)
  - The governing board provides strong financial and policy oversight
  - Well-qualified individuals will be recruited to serve on the school's board.
- The school's board will ensure effective and transparent management of the school's operations:
  - Management plans are sufficient to deliver the proposed educational program
  - Organizational, management and financial plans demonstrate operational effectiveness and fiscal viability



- Demonstrates intent to use a fair and open process to select a well-qualified school leadership team including:
  - Recruitment and hiring timeline(s)
  - Disclosure of any founders or board members intending to serve on the school's interim board, apply for employment at the new school and/or contract for services with the new school
  - Plans to recruit candidates who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age or disability.
  - NOTE: If selected for an award, applicants will be asked to provide documentation to verify that open and fair hiring processes took place.
- If applicable, discuss the school's plan to contract with a management organization or other comprehensive service provider (CMO/EMO):
  - Provide specific evidence demonstrating the provider's successful track record in academic, operational and financial performance
  - Clearly defines the role of the provider in managing/administering the school's federal CSP sub grant
  - Provide a copy of the school's fully-executed management agreement. If the agreement/contract is not yet executed, provide a draft (does not count towards page limit).

**NOTE: Federal CSP grant funds cannot be used for CMO/EMO services/contracts**

- Organizational chart clearly distinguishes between governance (board) and management (school leadership) and provides key roles and responsibilities of each.

**PARENT AND COMMUNITY ENGAGEMENT – 10 POINTS**

*Please limit your response to approximately **two** pages.*

*Instructions: Describe how parents and other members of the community will be involved in the planning, program design, and implementation of the new charter school.*

*A complete response will have the following characteristics:*

- A vision and strategy for meaningful parent and community support and engagement is presented that is reasonably likely to further the school's mission and program.
- Parent and community engagement begins in the design stage and continues in substantive ways throughout the planning and implementation phases of the school.

**MARKETING AND OUTREACH – 10 POINTS**

*Please limit your response to approximately **three** pages.*

*Instructions: Describe how students in the community will be informed about the new charter school, be given equal opportunity to attend the charter school and describe the lottery policy.*

Complete the table provided in the application to identify the number of students expected to attend the charter school (**do not** include prekindergarten or preschool).

A complete response will have the following characteristics:

- Outreach and recruitment plan demonstrates understanding of the community to be served and is likely to be effective, including reaching families traditionally less informed about educational options:
  - Plan addresses how students in the community will be informed about this charter school and given an equal opportunity to attend this charter school
  - Plan addresses how this school will intentionally and specifically conduct outreach to educationally and economically disadvantaged and hard-to-reach populations.
- Enrollment projections are realistic and supported by evidence of actual or potential demand and marketing and recruitment plans seem likely to generate enrollment sufficient to meet projections. Discusses plans in the event that enrollment is lower than projected.
- Describes how a lottery process will be used to provide equal access to all students who apply:
  - An open admissions and lottery process is described which indicates that the school will not limit admission beyond grade level and class size capacity and will only exempt prospective students from the lottery that are provided preference in federal guidance and [state law](#).

## **AUTHORIZER – NOT SCORED**

Please limit your response to approximately **two** pages.

Instructions: Describe the administrative relationship between the new charter school and the authorizer.

A complete response will demonstrate that:

- A clear administrative relationship exists between the school and authorizer that demonstrates an appropriate balance between autonomy and oversight to ensure statutory requirements are met.
- The authorizer has clear plans to use student achievement and other accountability data to evaluate the school's academic, financial and operational performance before charter renewal.

## **BUDGET – NOT SCORED**

Please complete the accompanying Excel workbook and include justification.

Instructions: Complete the Excel workbook to show how the new charter school proposes to use CSP funds on allowable activities. Please refer to the [UFARS Manual](#) for information on what expenses may be included in each object budget code. An applicant may also request a

detailed Budget Instructions document by email: [mde.charterschools@state.mn.us](mailto:mde.charterschools@state.mn.us) .An eligible applicant receiving a grant under this program may use the grant funds only for post-award planning and design of the educational program, which may include:

- Refinement of the desired educational results and of the methods for measuring progress toward achieving those results
- Professional development of board members, teachers and other staff who will work in the charter school
- Informing the community about the school
- Acquiring necessary equipment and educational materials and supplies
- Acquiring or developing curriculum materials
- Other initial start-up costs that cannot be met from state or local sources

NOTE: All proposed costs must be reasonable, allowable and necessary for the operation of a new charter school.

## **Minnesota Department of Education**

### **Charter Center**

Charter School Program Start Up (Planning and Implementation) Grant Opportunity

Name of Program Contact: Jennifer R. Nelson

Phone Number: [REDACTED]

1500 Highway 36 West  
Roseville, MN 55113-4266

[REDACTED]

[REDACTED]

<http://education.state.mn.us>

Information on this website can be made available in alternative formats by calling 651-582-8651. Persons with a hearing or speech disability may contact the Minnesota Relay Service by dialing 711 or 1 [REDACTED]

The state of Minnesota is an Equal Opportunity Employer.

**COMPETITIVE – 859 – FEDERAL – STATE FISCAL YEAR 2017  
 CHARTER SCHOOLS PROGRAM START-UP GRANT OPPORTUNITY  
 APPLICATION**

| APPLICANT INFORMATION  |  |                   |  |
|--|--|-------------------|--|
| Legal Name of Applicant (Charter School District/Organization)   |  |                   |  |
| REQUIRED ID NUMBERS AND LOCATION INFORMATION   |  |                   |  |
| SWIFT Vendor Number  |  | DUNS Number       |  |
| MDE Organization Site (Charter School) Number  |  |                   |  |
| Total Grant Funds Requested (maximum \$200,000)  |  | \$                |  |
| OFFICIAL WITH AUTHORITY INFORMATION  |  |                   |  |
| Name of official with authority to sign  |  |                   |  |
| Title  |  |                   |  |
| Address  |  |                   |  |
| City, Zip code + 4   |  |                   |  |
| Phone Number   |  |                   |  |
| Email  |  |                   |  |
| SIGNATURE(S)   |  |                   |  |
| SIGNATURE OF OFFICIAL WITH AUTHORITY TO SIGN:  |  |                   |  |
|  |  | DATE SIGNED _____ |  |
| I certify I have read the application (narrative, assurances, budget and supplemental documents, if applicable) and will comply with the approved application and assurances herein including additional state, local, federal regulations and policies governing the funding that apply to my agency. |  |                   |  |
| GRANT PROGRAM CONTACT INFORMATION  |  |                   |  |
| Name   |  |                   |  |
| Title  |  |                   |  |
| Organization   |  |                   |  |
| Address  |  |                   |  |
| City, ZIP  |  |                   |  |
| Phone  |  |                   |  |
| Email  |  |                   |  |

| <b>BUSINESS MANAGER/ACCOUNTING CONTACT INFORMATION</b> |  |
|--|--|
| <b>Name</b>  |  |
| <b>Title</b>   |  |
| <b>Organization</b>                                    |  |
| <b>Address</b>   |  |
| <b>City, ZIP</b>                                       |  |
| <b>Phone</b>   |  |
| <b>Email</b>   |  |

**Applications must be received by (not postmarked) by 3:30 p.m.  
Central Time on Wednesday January 25, 2017.**

### **ASSURANCES – MUST BE SUBMITTED WITH YOUR APPLICATION**

By signing the coversheet, the applicant certifies they have read all application documents including any revised documents and agrees to comply with the approved application, budget and assurances herein and all other applicable federal, state and local laws, ordinances, rules and regulations, public policies.

#### **1. Survival of Terms**

The following clauses survive the expiration or cancellation of this award: 4) State and Federal Audits; 5) Liability; 6) Ownership of Materials and Intellectual Property Rights; 7) Publicity; 8) Government Data Practices; 9) Data Disclosure; and 12) Governing Law, Jurisdiction and Venue.

#### **2. Use of Funds**

The use of funds shall be limited to that portion identified in the application materials and the attached application and by any applicable state or federal laws. Funds may not be used for gifts or novelty items (unless individually and specifically approved by the state) or for payments to vendors displaying exhibits for their profit. Funds may not be used to pay for or support other projects that are not identified in this application. Funds may not be used for the benefit of state employees, which includes, but is not limited to, reimbursement for any of their expenditures, including travel expenses, alcohol purchases, costs of registration fees for training sessions or educational courses presented or arranged, payments to state employees for presentations at workshops, seminars, etc., whether on state time, vacation time, leave of absence or any other non-work time.

A. The grantee, in the conduct of activities under this award, shall submit such reports as may be required by written instructions of the state within the times required by it. The state shall withhold funding if reporting requirements are not met in a complete, accurate and timely manner. The grantee must promptly return to the state any unexpended funds that have not been accounted for in an accepted financial report to the State due at grant closeout.

B. The grantee shall present reports to the Commissioner of the Department of Education (COMMISSIONER) or state's Authorized Representative. At the COMMISSIONER'S discretion, the reports may be presented at departmental, legislative, other state agency or public meetings where the grantee shall be available to explain the project and to respond to questions.

C. Reimbursement for travel and subsistence expenses actually and necessarily incurred by grantee in performance of this project will be paid provided that the grantee shall be reimbursed for travel and subsistence expenses in the same manner and in no greater amount than in the current "Commissioner's Plan," promulgated by the Commissioner of Minnesota Management & Budget (MMB), and grantee will only be reimbursed for travel and subsistence outside the state of Minnesota if it has received prior written approval for such out-of-state travel from the State. Exceptions to these travel rates are those that may be negotiated with the University of Minnesota. The current Commissioner's Plan can be viewed at (<http://www.mmd.admin.state.mn.us/commissionersplan.htm>) or [Access this link to obtain current maximum expense reimbursement rates](#)

### **3. Equipment**

Upon termination of the award, the state shall have the right to require transfer or return of any equipment purchased during the award grant period using these grant funds.

### **4. Financial and Administrative Provisions**

#### ***A. Allowability of Costs.***

The allowability of costs for federal funding incurred under this award shall be determined in accordance with the procedures and principles given in the federal Office of Management and Budget (OMB) circulars relocated to 2 CFR, Part 200 and in the approved budget.

For all funds, no claim for materials purchased in excess of budget categories or program services not specifically provided for in this award by the grantee will be allowed by the state unless approved in writing by the state. Such approval shall be considered to be a modification of the award. There may be additional limitations on allowable costs which shall be noted in the award.

Purchases of food for meetings, gifts and entertainment are not allowable. Refer to the applicable federal uniform guidance for cost principle information.

A meeting or conference hosted by a grantee and charged to the grant must not be promoted as a U S Department of Education conference.

**Records.** The grantee shall maintain books, records, documents and other evidence pertaining to the costs and expenses of implementing this application to the extent and in such detail as will accurately reflect all gross costs, direct and indirect, of labor materials, equipment, supplies, services and other costs and expenses of whatever nature. The grantee shall use generally accepted accounting principles. The grantee shall preserve all financial and cost reports, books of account and supporting documents and other data evidencing costs allowable and revenues and other applicable credits under this award which are in the possession of the grantee and

relate to this award, for a period of no less than six years and the respective federal requirements where applicable.

All pertinent records and books of accounts related to this award and subsequent awards shall be preserved by the grantee for a period of six years subject to the following criteria:

- 1) The six-year retention period shall commence from the date of submission of the final expenditure report.
- 2) If any litigation, claim or audit is started before the expiration of the six-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.
- 3) The grantee agrees to cooperate in any examination and audit under the provisions of this paragraph.

### ***B. Examination.***

The state or its representative or the federal administering department (when applicable) shall have the right to examine books, records, documents and other evidence and accounting procedures and practices, sufficient to reflect properly all direct and indirect costs and the method of implementing the award. The grantee shall make available at its office and at all reasonable times before and during the period of record retention, proper facilities for such examination and audit.

### ***C. State and Federal Audits.***

Under Minnesota Statutes, section 16B.98, Subdivision 8, the grantee's books, records, document, and accounting procedures and practices relevant to this grant are subject to examination by the state and/or the state auditor or legislative auditor, as appropriate, for a minimum of six years from the end of this grant agreement, receipt and approval of all final reports, or the required period of time to satisfy all state retention requirements, whichever is later. If federal funding, all grantees are subject to retention requirements related to audits.

If the grantee (in federal OMB Circular language known as "subrecipient") receives federal assistance from the state of Minnesota, it will comply with the applicable single audit requirements. The grantee will provide copies of the single audit reporting package upon request.

## **5. Liability**

Grantee agrees to indemnify and save and hold the state, its agents and employees harmless from any and all claims or causes of action, including all attorneys' fees incurred by the state arising from the performance of the award by grantees, agents or employees. This clause shall not be construed to bar any legal remedies grantee may have for the state's failure to fulfill its obligations pursuant to the award and subsequent awards.

## **6. Ownership of Materials and Intellectual Property Rights**

### **A. Intellectual Property Rights.**

The state shall 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 the award. Works means all inventions, improvements, discoveries (whether or not patentable), databases, computer programs, reports, notes, studies, photographs, negatives, designs, drawings, specifications, materials, tapes and disks conceived, reduced to practice, created or originated by the grantee, its employees, agents and subcontractors, either individually or jointly with others in the performance of this award. Works includes "Documents." Documents are the originals of any databases, computer programs, reports, notes, studies, photographs, negatives, designs, drawings, specifications, materials, tapes, disks or other materials, whether in tangible or electronic forms, prepared by the grantee, its employees, agents or subcontractors in the performance of this award. The documents will be the exclusive property of the state and all such documents must be immediately returned to the state by the grantee upon completion or cancellation of the award. To the extent possible, those works eligible for copyright protection under the United States Copyright Act will be deemed to be "works for hire." The grantee assigns all right, title and interest it may have in the works and the documents to the state. The grantee, at the request of the state, shall execute all papers and perform all other acts necessary to transfer or record the state's ownership interest in the works and documents.

### **B. Obligations:**

#### ***Notification***

Whenever any invention, improvement or discovery (whether or not patentable) is made or conceived for the first time or actually or constructively reduced to practice by the grantee, including its employees and subcontractors, in the performance of the award, the grantee will immediately give the state's authorized representative written notice thereof, and must promptly furnish the authorized representative with complete information and/or disclosure thereon.

#### ***C. Representation***

The grantee must perform all acts, and take all steps necessary to ensure that all intellectual property rights in the works and documents are the sole property of the state, and that neither the grantee nor its employees, agents, or subcontractors retain any interest in and to the works and documents. The grantee represents and warrants that the works and documents do not and will not infringe upon any intellectual property of other persons or entities. Notwithstanding Liability clause 5, the grantee will indemnify; defend, to the extent permitted by the Attorney General; and hold harmless the state, at the grantee's expense, from any action or claim brought against the state to the extent that it is based on a claim that all or part of the works or documents infringe upon the intellectual property rights of others. The grantee will be responsible for payment of any and all such claims, demands, obligations, liabilities, costs and damages, including but not limited to, attorney fees. If such a claim or action arises, or in the grantee's or the state's opinion is likely to arise, the grantee, must at the state's discretion, either procure for the state the right or license to use the intellectual property rights at issue or



replace or modify the allegedly infringing works or documents as necessary and appropriate to obviate the infringement claim. This remedy of the state will be in addition and not exclusive of other remedies provided by law.

## 7. Publicity

Any publicity given to the program, publications or services provided resulting from the award, including, but not limited to, notices, website publications, informational pamphlets, press releases, research, reports, signs and similar public notices prepared for the grantee or its employees individually or jointly with others or any subrecipients, **shall publicly identify the state as the sponsoring agency and identify the source of funding**. The publicity described may only be released with the prior approval of the state's authorized representative.

The applicant/awardee must **not** claim that the state **or** the federal Department of Education **endorses** its products or services.

*Example: The contents of this publication, film or conference do not necessarily represent the policy of the federal Department of Education or the state Department of Education and you should not assume endorsement by the federal or state government.*

See the sample statement below for citing the funding source below.

*This training is funded, in part, with a grant from the Minnesota Department of Education using federal funds, CFDA 84.282A – Charter Schools Program, Title V, Part B.*

## 8. Government Data Practices and Disclosure of Breach in Security

The grantee and the State must comply with the Minnesota Government Data Practices Act, Minnesota Statutes, Chapter 13, as it applies to all data provided by the state under the award, and as it applies to all data created collected, received, stored, used, maintained or disseminated by the grantee under the award. The civil remedies of Minnesota Statutes, section 13.08 apply to the release of the data referred to in this paragraph by either the grantee or the state.

If the grantee receives a request to release the data referred to in this paragraph, the grantee must immediately notify the state. The state will give the grantee instructions concerning the release of the data to the requesting party before the data is released.

Effective August 1, 2014, the 2014 Laws of Minnesota, Charter 284, amends Minnesota Statutes, section 13.055, to apply to all government entities in Minnesota, not just state agencies. This applies to all school districts and charter schools. Government entities must notify individual data subjects when nonpublic data about them has been the subject of a breach of security of the data.

## 9. Data Disclosure

Under Minnesota Statutes, section 270C.65, and other applicable laws, the grantee consents to disclosure of its SWIFT Vendor ID Number, Social Security number, DUNS number, federal employer tax identification number and/or Minnesota tax identification number, already provided

to the state, to federal and state tax agencies and state personnel involved in the payment of state obligations. These numbers may be used in the enforcement of federal and state tax laws which could result in action requiring the grantee to file state tax returns and pay delinquent state tax liabilities, if any.

## **10. Worker's Compensation**

Grantee certifies that it is in compliance with Minnesota Statutes, section 176.181, subdivision 2, pertaining to workers' compensation insurance coverage. The grantee's employees and agents will not be considered state employees. Any claims that may arise under the Minnesota Workers' Compensation Act on behalf of these employees and any claims made by any third party as a consequence of any act or omission on the part of these employees are in no way the state's obligation or responsibility. (Exemption/Waiver as allowed under law.)

## **11. Antitrust**

Grantee hereby assigns to the state of Minnesota any and all claims for overcharges as to goods and/or services provided in connection with the award resulting from antitrust violations which arise under the antitrust laws of the United States and the antitrust laws of the state of Minnesota.

## **12. Governing Law, Jurisdiction and Venue**

Minnesota law, without regard to its choice-of-law and provisions, governs the award. Venue for all legal proceedings arising out of the award, or its breach, must be in the appropriate state or federal court with competent jurisdiction in Ramsey County, Minnesota.

## **13. Lobbying**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 2 CFR, Part 200, the grantee when signing the application, certifies that:

- A. No federally appropriated funds have been paid or will be paid, by or on behalf of organization, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any federal award, and the extension, continuation, renewal, amendment or modification of any federal award.
- B. If any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal award, the grantee shall complete and submit a Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- C. The grantee shall require that the language herein shall be included in any award documents for all subawards at all tiers (including subgrants, contracts under award, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### **14. Debarment, Suspension, and Other Responsibility Matters**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 2 CFR 180.200 or amendments thereto, for prospective participants in primary covered transactions.

The grantee, when signing this application, certifies that it and its principals:

- 1) Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any federal department or agency;
- 2) Have not within a three-year period preceding this application or award been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property;
- 3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and,
- 4) Have not within a three-year period preceding this application had one or more public transaction (federal, state or local) terminated for cause or default.

#### **15. Drug-Free Workplace (Awardees Other Than Individuals)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 2 CFR, Part 200,

A. The grantee certifies that it will continue to provide a drug-free workplace by:

- 1) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- 2) Establishing an on-going drug-free awareness program to inform employees about:
  - (a) The dangers of drug abuse in the workplace;
  - (b) The grantee's policy of maintaining a drug-free workplace;
  - (c) Any available drug counseling, rehabilitation and employee assistance programs; and
  - (d) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

3) Making it a requirement that each employee to be engaged in the performance of the award be given a copy of the statement required by paragraph (1);

4) Notifying the employee in the statement required by paragraph (1) that, as a condition of employment under the award, the employee will:

(a) Abide by the terms of the statement; and,

(b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

5) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (4)(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected award;

6) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (4)(b), with respect to any employee who is so convicted:

(a) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or,

(b) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state or local health, law enforcement or other appropriate agency;

7) Making a good faith effort to continue to maintain a drug-free workplace through implementation of Paragraphs (1), (2), (3), (4), (5) and (6).

## **16. Transferability**

The grantee shall not transfer or assign to any party or parties any right(s), obligation(s) or claim(s) under the award without the prior written consent of the state. It is understood, however, that grantee remains solely responsible to the state for providing the products and services described.

## **17. Time**

The grantee must comply with the time requirements described in the application and award, in the performance of this award and if inform the grantor of any potential long term delays or changes affecting those timelines.

## **18. Nondiscrimination**

The grantee will comply with nondiscrimination statutes

- A. Grantees will follow the Civil Rights Act of 1964 and amendments thereto which prohibits discrimination on the basis of race, color, or national origin

- B. Section 504 of the Rehabilitation Act of 1973, and amendments which prohibits discrimination on the basis of disability
- C. Title IX of the Education Amendments of 1972 which prohibits discrimination on the basis of sex in education programs
- D. Age Discrimination in Employment Act of 1975 and amendments.
- E. In addition, per federal CFR 200.415, Agreement of Applicant, which states that prior to the Commissioner's issuance of any commitment or other loan approval, shall agree, by signing the application, (in a form prescribed by the Commissioner), that there shall be no discrimination against anyone who is employed in carrying out work receiving assistance pursuant to this chapter, or against an applicant for such employment, because of race, color, religion, sex, handicap, age or national origin.

## **19. Pre-Award Work and Pre-Award Costs**

The grantee understands that no work should begin and no pre-award costs would be covered under this award until all required signatures have been obtained; an Official Grant Award Notification (OGAN) has been issued or other award documentation has been received and the grantee is notified to begin work by the state's program authorized representative or their designee. If an exception to this is determined necessary by MDE, the grantee would be informed in writing or email by the state's program authorized representative or designee.

## **20. Grantee's Grant Program Authorized Representative**

The applicant's Program Authorized Representative will be named on the OGAN or other award information. If the Program Authorized Representative or official with authority to sign changes at any time during the grant award period, the applicant/grantee must immediately notify the state.

## **21. Delinquent State or Federal Debt**

As an applicant, you are not delinquent on the repayment of any federal debt. If delinquent in state debt, payments shall not be made by the state agency to the vendor until the commissioner notifies the agency the vendor is no longer a delinquent taxpayer or as otherwise indicated under Minnesota Statutes, section 270C.65, Subdivision 3.

## **22. Cancellation With or Without Cause**

An award contract may be cancelled by the state at any time, with or without cause, upon thirty (30) days' written notice to the Grantee. Upon termination, the Grantee will be entitled to payment, determined on a pro rata basis, for services satisfactorily performed and for approvable expenditures.

### **23. Cancellation Due to Discontinued or Insufficient Funding**

It is expressly understood and agreed that in the event the funding to the state from Federal sources or appropriations by the Minnesota Legislature are not obtained and/or continued at an aggregate level sufficient to allow for the grantee's program to continue operating, the grant shall immediately be terminated upon written notice by the state to the grantee. The state is not obligated to pay for any services that are provided after notice and effective date of termination. However, the grantee will be entitled to payment, determined on a pro-rata basis, for services satisfactorily performed and approvable expenditures incurred prior to termination to the extent that funds are available. The state will not be assessed any penalty if the grant is terminated because of a decision of the Minnesota Legislature, or other funding source, not to appropriate funds. The state must provide the grantee notice within a reasonable time of the state receiving notice.

### **24. Cancellation Due to Failure to Comply**

The state may cancel an award contract immediately if the state finds that there has been a failure to comply with the provisions of an award, that reasonable progress has not been made or that the purposes for which the funds were awarded/granted have not been or will not be fulfilled. The state may take action to protect the interests of the state of Minnesota, including the refusal to disburse additional funds and requiring the return of all or part of the funds already disbursed.

### **25. Salaries – Supplanting**

Grant funds shall not be used to supplant salaries and wages normally budgeted for an employee of the applicant/agency. Total time for each staff position paid through various funding streams financed in part or whole with grant funds shall not exceed one Full Time Equivalent (FTE) except in certain situations. The grantee may allow staff to work on extended day assignments such as after school programs, special education services or other projects, if necessary, or allowable under funding. The grantee must be prepared to disclose all required supporting documentation for salaries paid for their employees.

### **26. Conflict of Interest**

In accordance with the Minnesota Office of Grants Management Policy 08-01, the grantee will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or present the appearance of personal or organizational conflicts of interest, or personal gain.

### **27. Voter Registration Services**

The commissioner or chief administrator officer of each state agency or community-based public agency or nonprofit corporation that contracts with the state agency to carry out obligations of the state agency shall provide voter registration services for employees and the public. Refer to Minnesota Statutes, section 201.162, Duties of State Agencies for the complete statute.

## **28. Contracting – Nongovernmental Entities**

Nongovernmental entities must follow state procurement practices for contracting and bidding. Refer to state Office of Grants Management Policies for best practices. Support documentation of procurement processes must be retained. Refer to Minnesota Statutes, section 16C.06, Subdivision 1 regarding the threshold of \$25,000 for public notice. Other purchasing thresholds are in the policy here: [Department of Administration's purchasing policies](#).

Support documentation for procurement processes must be retained.

## **29. Amendments**

Any amendment to an award must be in writing and will not be effective until it has been executed and approved by the same parties who executed and approved the original grant award, or their successors in office.

## **30. Publications on MDE Website**

When a grant includes the production of a report or other publication and this publication may be posted on the MDE Website, that document must adhere to all MDE Communication's policies, available upon request from the Communication's Division.

## **31. Return Unexpended Funds**

The grantee must promptly return to the state any unexpended funds that have not been accounted for in a financial report or supporting documentation at grant closeout.

## **32. FERPA**

The grantee shall comply with any and all provisions of the Family Educational Rights to Privacy Act of 1974.

## **33. Text Messaging While Driving**

Federal grant recipients, subrecipients and their grant personnel are prohibited from text messaging while driving a government owned vehicle, or while driving their own privately owned vehicle during official grant business, or from using government supplied electronic equipment to text message or email when driving. Recipients must comply with these conditions under Executive Order 13513, "Federal Leadership on Reducing Text Messaging While Driving", October 1, 2009.

## **34. Cash Management Improvement Act of 1990**

The grantee assures that if the award involves federal funding the reimbursement of expenditures is in compliance with all program provisions, relevant provisions of the Cash Management Improvement Act of 1990 (Public Law 101-453) as amended by the CMIA of 1992 (Public Law 102-589), codified at 31 U.S.C. 6501 and 31 U.S.C. 6503; all current Office of Management and Budget circulars and cost principles, with the current Federal Education

Department General Uniform Administrative Regulations, Part 200 or other applicable code of federal regulations applicable to this federal reimbursement request.

### **35. Official Grant Award Notification**

Grantees must follow the reporting requirements and terms outlined in the Official Grant Award Notification (OGAN) or other award documentation.

### **36. Resource Conservation and Recovery Act of 1976**

Grantee if a political subdivision of the state and funded with federal dollars, will consider the federal Resource Conservation and Recovery Act of 1976 in all procurement transactions. The objectives of the Resource Conservation and Recovery Act (RCRA) are to protect human health and the environment from the potential hazards of waste disposal, to conserve energy and natural resources, to reduce the amount of waste generated, and to ensure that wastes are managed in an environmentally sound manner.

### **37. Internal Control Processes**

Non-federal entities with federal grants must implement internal control processes as referenced in CFR 200.61 and 200.62.

### **38. Other Administrative Assurances**

- A. Grantees funded with federal funding must follow 200.308, Revision of Budget and Program or as approved in the Official Grant Award Notification (OGAN).
- B. Non-federal entities with federal grants will take reasonable measures to safeguard protected personally identifiable information as well as any information that the federal awarding agency or pass-through designates as sensitive. Refer to federal regulation 200.303, Protected Personally Identifiable Information means as individual's first name or first initial and last name in combination with any one or more types of information such as social security number, credit card numbers, place of birth.
- C. The non-federal entity using federal funding when contracting must take all necessary affirmative steps to assure that minority businesses, women's business enterprises and labor surplus area firms are used when possible. Refer to 200.321 for more information.
- D. Grantee and their subrecipients of federal grant funds will adopt the requirements in the Code of Federal Regulations at 2, CFR 175.15 (b) pertaining to Trafficking in Persons. These requirements are incorporated into this grant award. A grant may be terminated for any violation of these provisions by the grantee, its employees or its subrecipients.
- E. Grantees and subcontractors receiving grants exceeding \$100,000 must comply with all applicable standards, orders, or requirements under Section 306 of the Clean Air Act, Section 508 of the Clean Water Act and Environmental Protection Agency regulations (40 CFR, part 15).



- F. The non-federal entity or applicant for a federal award must disclose, in a timely manner, in writing to the federal awarding agency or pass-through entity all violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Failure to make required disclosures can result in any of the remedies described in 200.338 Remedies for noncompliance, including suspension and debarment.
- G. If the initiative is federally funded with an award from the federal Office of Education, grantees must follow all other applicable uniform guidance under 2 CFR, Part 200 as applicable.
- H. Grantees will provide information to MDE, upon request and in a timely fashion to accommodate MDE's reporting under the Federal Funding Accountability and Transparency Act.

## **Program Specific Assurances/Provisions**

### **39. Operating Statute**

Charter Schools must operate in accordance with Minnesota Statutes, section 124.E

### **40. Creation and Operation**

The public charter school is created by a developer as a public school, or is adapted by a developer from an existing public school, and is operated under public supervision and direction;

### **41. Educational Programs**

A public charter school a) operates in pursuit of a specific set of educational objectives determined by the school's developer and agreed to by the authorized public chartering agency  
b) provides a program of elementary or secondary education, or both;

### **42. Nonsectarian**

A public charter school is nonsectarian in its programs, admissions policies, employment practices and all other operations, and is not affiliated with a sectarian school or religious institution;

### **43. Tuition**

A public charter school does not charge tuition.

### **44. Lottery**

A public charter school is a school to which parents choose to send their children, and that admits students on the basis of an annual lottery, if more students apply for admission than can be accommodated.

### **45. Safety Requirements**

A public charter school meets all applicable, state, federal and local health and safety requirements.

## 46. Additional Public Charter School Provisions

- A. Agrees to comply with the same federal and state audit requirements as do other elementary schools and secondary schools in the state;
- B. Operates in accordance with state law; and
- C. Has a written performance contract with the authorized public chartering agency in the state that includes a description of how student performance will be measured in charter schools pursuant to state assessments that are required of other schools and pursuant to any other assessments mutually agreeable to the authorized public chartering agency and the charter school.
- D. The charter school will annually provide the U.S. Secretary of Education and the Minnesota Department of Education (MDE) such information as may be *required to* determine if the charter school is making satisfactory progress toward achieving the goals and objectives of this project. This includes participation in any federal or state funded charter school evaluations or studies and compliance with all requests for information.
- E. The charter school will cooperate with the U.S. Secretary of Education and MDE in evaluating Minnesota's Federal CSP Grant Project.
- F. The charter school will comply with all terms and conditions of the current and amended editions of *General Overview for CSP Grantees*, MDE's policy guidance for this grant project.
- G. School developers, board members and personnel will fully and appropriately participate in all mandatory MDE training sessions and meetings.
- H. The charter school must maintain an active board of directors in accordance with Minnesota Statutes, section 124E.07, Subdivision 1.
- I. In compliance with Minnesota Statutes, section 123B.03, the charter school's board ("school hiring authority") will conduct criminal history background checks on individuals offered employment or service opportunities at the school.
- J. In compliance with Minnesota Statutes, section 125B.05, Subdivision 3, the charter school will use only state-approved accounting and reporting software.
- K. In compliance with Minnesota Statutes, section 363A.08, the charter school will use and maintain open and fair employment practices.
- L. The charter school will comply with Uniform Financial Accounting and Reporting Standards for Minnesota School Districts (UFARS) and Generally Accepted Accounting Practices (GAAP).
- M. The charter school employs or contracts with a Special Education Director and will maintain this position at all times.
- N. The charter school will publish an annual report as provided in Minnesota Statutes, section 124E.16, Subdivision 2.
- O. Equipment, non-consumable supplies and other non-consumable items purchased under the federal award are intended for approved purposes identified under the

grant. If a charter school closes or is no longer able to utilize purchased items of value, they must be distributed to other charter schools, for similar purposes, at the discretion of the state. The charter schools will maintain and submit property inventory records of all equipment, assets and non-consumable items purchased with federal CSP grant funds.

- P. The charter school will avoid apparent and actual conflicts of interest when administering grants and entering into contracts for equipment and services. U.S. Department of Education regulations prohibit a person from participating in an administrative decision regarding a project if (a) the decision is likely to benefit that person or his or her immediate family member; and (b) the person is a public official or has a family or business relationship with the grantee. A person may not participate in a project to use his or her position for a purpose that is – or gives the appearance of being – motivated by a desire for a private or financial gain for that person or for others. Grantees must have a conflict of interest policy in place and adhere to that policy throughout the grant period.
- Q. The charter school, when using federal funds to enter into a contract for equipment or services, will comply with the procurement standards set forth in the U.S. Department of Education’s regulations which require federal grant recipients to develop written procurement procedures and to conduct all procurement transactions in a manner to provide, to the maximum extent possible, open and free competition. No employee, officer, or agent of the charter school may participate in the selection, award, or administration of any contract supported by federal funds if a real or apparent conflict of interest exists.
- R. If grant funds are used for activities not indicated in the application without prior approval, grant funds may need to be returned or canceled. All budgetary and program activity modifications must be approved by MDE in writing before they are allowable.
- S. The applicant understands ongoing use of CSP funds is contingent upon compliance with state and federal requirements applicable to a public charter school. Only costs related to the start-up and initial implementation of a new charter school are allowable. A charter school may not encumber or obligate CSP funds before a charter contract is executed or after a charter contract has expired or been terminated.
- T. The charter school will comply with all required state and federal assurances.  
*Continued funding is contingent upon evidence of compliance with project requirements and continued availability of federal funds.*
- U. The charter school assures that federal charter school grant fund will not be used to make direct or indirect payments to a charter management organization, its contractors, employees or board members (*Charter Schools Program, Title V, Part B of the ESEA Nonregulatory Guidance 2014*).

#### **47. Fiscal Provisions**

- A. The grantee may expend grant funds in a manner that exceeds approved line item amounts by a total of up to 10 percent of the project period grant award without pre-approval from MDE (according to budget guidance – some exceptions apply).

- B. Total line item deviations exceeding 10 percent of the total project period award must be approved by MDE in writing prior to expenditure or legal obligation of those funds.
- C. Expenditure of grant funds for un-approved costs is not allowable.
- D. CSP grantees must maintain compliance with state and federal laws and up-to-date in submitting all state-required reports (audit, UFARS, MARSS, STAR, annual report, etc.) before funds will be released under this award.
  - a. If an applicant for a federal CSP grant alleges that MDE violated a state or federal statute or regulation with respect to MDE's application decision, the applicant may request a hearing before MDE in accordance with 34 CFR Section 76.401. The hearing must be requested within thirty days of MDE's application decision.
  - b. If funded, the charter school will not merge with another charter school until five years after the school's federal CSP grant project concludes.

## AUTHORIZER DECLARATION OF SUPPORT FORM

(Name of authorizing organization), the approved authorizer of (new charter school), verifies the following (initial below):

*Initial:*

This new charter school is in good standing and is currently meeting preoperational expectations;

This new charter school is on track to open as planned and described in this grant application;

The accountability goals included in this grant application match the goals included in the charter contract;

If concerns arise about this charter school's progress towards opening as described/planned, the authorizer will contact the MDE Charter Center immediately;

This grant application is aligned with this new charter school's application, new school affidavit, and charter contract; and

This authorizer supports this new charter school's request for federal funds.

Name of Authorizer Liaison:

Title:

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

# CHARTER SCHOOL INFORMATION FORM

## Competitive – 859 - Federal – State Fiscal Year 2017 Charter Schools Program - Start-Up Grant Opportunity

Click on grey form fields to enter requested information.

NAME OF NEW CHARTER SCHOOL:

NAME OF AUTHORIZER:

### **Name and Title of Primary School Contact**

**Contact Information:** (Mailing address, phone number and email address)

### **Name and Title of Authorizer Liaison**

**Contact Information** (Mailing address, phone number and email address)

**Grade Levels (Elementary and/or Secondary) School will Serve when Fully Enrolled:**

**Number of K-12 Students School will Serve when Fully Enrolled:**

**Proposed Opening Date (First Day of Operation):**

**Charter School Location (City):**

### **Which Federal CSP Preference Priorities are addressed in this proposal?**

*Select all (one or more) that apply. Applications will be evaluated based on the priorities indicated below. Priorities not selected will not impact the score of that section, provided that at least one federal CSP priority is addressed.*

Replicating High-Performing Models

Improving Achievement and High School Graduation Rates

Promoting Diversity

Improving Productivity

### **Which State Education Priorities are addressed in this proposal?**

*Select all (one or more) that apply. Proposals will be evaluated based on the priorities indicated below. Priorities not selected will not impact the rating of that section, provided that at least one state priority is addressed.*

Reading Well by Third Grade

Raise the Bar – Close the Gap

Meeting High Standards Across Content Areas

High School Graduation, College and Career Ready

Support Teaching for Better Schools

# CHARTER SCHOOL BOARD MEMBER/DEVELOPER CONTACT INFORMATION

## Competitive – 859 - Federal – State Fiscal Year 2017 Charter Schools Program (CSP) - Start-Up Grant Opportunity

NAME OF AUTHORIZER

NAME OF NEW CHARTER SCHOOL:

Provide information for all individuals directly and significantly involved in the development of this new charter school and/or federal CSP grant application.<sup>1</sup>

| Name | Phone Number | Email Address | School Board Member (check if board member or intending to serve as a board member) <sup>2</sup> | Minnesota Teacher License File Folder # and Expiration Date (if applicable) <sup>3</sup> | Involved with Federal CSP Grant Application (check if applicable) <sup>4</sup> |
|------|--------------|---------------|--|--|--|
|      |              |               | <input type="checkbox"/>   |  | <input type="checkbox"/>   |
|      |              |               | <input type="checkbox"/>   |  | <input type="checkbox"/>   |
|      |              |               | <input type="checkbox"/>   |  | <input type="checkbox"/>   |
|      |              |               | <input type="checkbox"/>   |  | <input type="checkbox"/>   |
|      |              |               | <input type="checkbox"/>   |  | <input type="checkbox"/>   |
|      |              |               | <input type="checkbox"/>   |  | <input type="checkbox"/>   |
|      |              |               | <input type="checkbox"/>   |  | <input type="checkbox"/>   |
|      |              |               | <input type="checkbox"/>   |  | <input type="checkbox"/>   |
|      |              |               | <input type="checkbox"/>   |  | <input type="checkbox"/>   |

| Name | Phone Number | Email Address | School Board Member (check if board member or intending to serve as a board member) <sup>2</sup> | Minnesota Teacher License File Folder # and Expiration Date (if applicable) <sup>3</sup> | Involved with Federal CSP Grant Application (check if applicable) <sup>4</sup> |
|------|--------------|---------------|--|--|--|
|      |              |               | <input type="checkbox"/>   |  | <input type="checkbox"/>   |
|      |              |               | <input type="checkbox"/>   |  | <input type="checkbox"/>   |

<sup>1</sup> Include only charter school board members, primary developers and founders, grant writers, school administrators, etc.; please do **not** include the school's authorizer liaison or persons merely consulted in the development of the new school on this list.

<sup>2</sup> Minnesota Statutes, section 124E.06, Subdivision 4 stipulates that: *A charter school board of directors must be composed of at least five members who are not related parties.*

<sup>3</sup> Minnesota Statutes, section 124E.06, Subdivision 1 (a) stipulates that: *An authorizer...may charter a licensed teacher under section 122A.18, Subdivision 1, or a group of individuals that includes one or more licensed teachers under section 122A.18, Subdivision 1, to operate a school subject to the commissioner's approval of the authorizer's affidavit under paragraph (b).*

<sup>4</sup> 34 CFR 74.43 prohibits contractors that develop or draft specifications, requirements, statements of work, invitations for bids or requests for federal grant proposals from competing for procurements financed under a successful application award.



# **WORK PLAN NARRATIVE AND FEDERAL PREFERENCE PRIORITIES**

**Competitive – 859 - Federal – State Fiscal Year 2017**

## **Charter Schools Program (CSP) – Start Up Grant Opportunity**

Please use Arial 11-point font and double-space text when entering responses in Work Plan Narrative template below. Please do not exceed 38 total pages.

NAME OF CHARTER SCHOOL:

NAME OF AUTHORIZER:

**EXECUTIVE SUMMARY** (Limit two pages)

**EDUCATIONAL PROGRAM** (Limit ten pages)

**ACCOUNTABILITY GOALS, PART 1** (Limit four pages)

**Accountability Goal 1:**

**Accountability Goal 2:**

**Accountability Goal 3:**

**Accountability Goal 4:**

**Accountability Goal 5:**

**Accountability Goal 6:**

**ACCOUNTABILITY GOALS, PART 2**

*Describe the school's plans to use assessment data to effect teaching and learning to improve student achievement.*

**FEDERAL CSP PREFERENCE PRIORITIES** (Limit five pages)

**STATE EDUCATION PRIORITIES** (Limit three pages)

**GOVERNANCE AND MANAGEMENT** (Limit seven pages)

**PARENT AND COMMUNITY ENGAGEMENT** (Limit two pages)

**MARKETING AND OUTREACH** (Limit three pages including Enrollment Table)

**ENROLLMENT TABLE**

*Complete and include this table in your response to this section. Identify the number of student expected to attend the new school each year by grade level in the following table (add additional rows if it will take more than five years to reach full enrollment). Do not include prekindergarten or preschool children in this table.*

| <b>Year of Operation</b> | <b>K</b> | <b>1</b> | <b>2</b> | <b>3</b> | <b>4</b> | <b>5</b> | <b>6</b> | <b>7</b> | <b>8</b> | <b>9</b> | <b>10</b> | <b>11</b> | <b>12</b> | <b>Total</b> |
|--------------------------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|-----------|-----------|-----------|--------------|
| Year 1                   |          |          |          |          |          |          |          |          |          |          |           |           |           |              |
| Year 2                   |          |          |          |          |          |          |          |          |          |          |           |           |           |              |
| Year 3                   |          |          |          |          |          |          |          |          |          |          |           |           |           |              |
| Year 4                   |          |          |          |          |          |          |          |          |          |          |           |           |           |              |
| Year 5                   |          |          |          |          |          |          |          |          |          |          |           |           |           |              |

**AUTHORIZER** (Limit three pages)

**BUDGET**

*Please complete excel budget document including cost justifications. Expenditures related to food purchases beyond necessary meals if in approved travel status, gifts and entertainment are not allowable.*

**WAIVER REQUESTS (Optional, no page limit):**

**COMPETITIVE – 859 – FEDERAL – STATE FISCAL YEAR 2017  
CHARTER SCHOOLS PROGRAM SIGNIFICANT EXPANSION OR  
REPLICATION GRANT OPPORTUNITY**

**INSTRUCTIONS**

**INTRODUCTION MEMO**

**TO:** Minnesota’s Eligible High-Quality Charter Schools

**FROM:** Jennifer R. Nelson, Director, Charter Center  
Kevin McHenry, Assistant Commissioner

**ACTION:** Signed and submitted applications must be received (not postmarked) by **3:30 p.m. Central Standard Time on Friday, February 3, 2017**

**PURPOSE AND OUTCOME OF THE GRANT OPPORTUNITY**

The Minnesota Department of Education’s (MDE) Charter Center is accepting Charter School Significant Expansion or Replication grant applications from eligible high-quality charter schools (HQCS). Federal Charter School Program grants provide federal financial assistance for planning, program design and the initial implementation of the significant expansion or replication of high-performing charter schools operated by an eligible charter local education agency (LEA).

**ELIGIBLE APPLICANTS**

This competitive grant opportunity is open to the following eligible HQCS; eligible applicants must also currently serve a minimum of 200 students:

|  |   |
|--|---|
| Achieve Language Academy               | Cyber Village Academy                   |
| Arcadia Charter School                 | East Range Academy of Technical Science |
| Aspen Academy                          | Friendship Academy of Fine Arts Charter |
| Beacon Academy                         | Global Academy                          |
| Cedar Riverside Community School       | Higher Ground Academy                   |
| Cologne Academy                        | International Spanish Language Academy  |
| KIPP Minnesota                         | STEP Academy Charter School             |
| Life Prep                              | Twin Cities Academy                     |
| Lionsgate Academy                      | Twin Cities German Immersion Charter    |
| Math and Science Academy               | Twin Cities International Elementary    |
| Nova Classical Academy                 | Ubah Medical Academy Charter School     |
| Schoolcraft Learning Community Charter | Yinghua Academy                         |
| St. Croix Preparatory Academy          |   |

More information on Minnesota’s HQCS is available on the [Charter website](#).

## FUNDING AVAILABLE

Up to \$2,000,000 for SFY 2017 sub grant awards is available using federal year 2012 grant funds from Title V, Part B, Subpart 1 – Charter School Programs (CSP), CFDA 84.282A. The Charter Center anticipates awarding approximately 10 sub grants, with a minimum anticipated grant award of \$100,000 and a maximum anticipated grant award of \$200,000 for significant expansion or replication grant. Available funds will be split between the CSP Start-Up Grant Opportunity and the CSP Significant Expansion or Replication Grant Opportunity.

MDE reserves the right to offer more or less than \$200,000 or the amounts requested by applicants and award more or less than 10 sub grants. ***The availability of this funding is contingent on MDE's receipt of a no-cost extension that extends its grant award through February 28, 2018.***

## ESTIMATED GRANT PERIOD

The grant period is anticipated to begin March 2017 and end February 28, 2018. Project period start and end dates may vary by sub grantee. ***Applicants should carefully consider their ability to expend funds during a shortened time frame.*** MDE reserves the right to award continuation (Implementation) grant awards (up to two years) to selected projects contingent on future federal funding for this initiative and a grantee's progress made during the initial grant period.

## STATE'S RIGHT TO CANCEL

This grant opportunity does not obligate the state to award a contract and the state reserves the right to cancel the solicitation if it is considered to be in its best interest due to lack of funding, agency priorities or other considerations.

## GENERAL INFORMATION SECTION

### PROJECT FUNDING AND BACKGROUND

#### Purposes of Federal Charter Schools Program Grant (CSP) Project

- To increase national understanding of the charter schools model
- To expand the number of high-quality charter schools available to students across the nation by providing financial assistance for planning, program design and initial implementation of new charter schools

#### Allowable Activities under the Federal CSP Grant Project

An eligible applicant receiving a grant under this program may use the grant funds only for:

- Post-award planning and design of the educational program, which may include:
  - Refinement of the desired educational results and of the methods for measuring progress toward achieving those results
  - Professional development of board members, teachers and other staff who will work in the charter school
- Initial implementation of the charter school, which may include:

- Informing the community about the school
- Acquiring necessary equipment and educational materials and supplies
- Acquiring or developing curriculum materials
- Other initial expansion/replication start-up costs that cannot be met from state or local sources

### **Funding Preference Priorities**

Applicants must address one or more federal CSP preference priorities:

- Replicating high-performing models
- Improving high school achievement and graduation rates
- Promoting diversity
- Improving productivity

### **State Education Priorities**

Applicants must also address one or more state education priorities under [Governor Dayton's 7-Point Plan: Better Schools for a Better Minnesota](#):

- Reading Well by Third Grade
- Raise the Bar – Close the Gap
- Meeting High Standards Across Content Areas
- High School Graduation, College and Career Ready
- Support Teaching for Better Schools

## **DEFINITIONS**

### **Significant Expansion**

Serving a minimum of two additional grades and increasing enrollment by at least 50% of the current LEA enrollment (a minimum of 100 additional students – existing school must serve at least 200) by the time the expansion is fully implemented.

- The expansion must be beyond the grades for which the school received its original CSP planning and implementation grant
- Expansions that have become operational within the past two years are eligible to apply for expansion/replication start-up funds, provided that CSP funds have not already been directed to the expansion.
- In an expansion, separate lotteries are not required even if more than one site is needed to serve the additional grades, provided that there is no overlap in grades between sites. If multiple sites will be serving the same grades, that would be considered replication.

### **Replication**

Opening a new school site, which will be students' primary site of enrollment, beyond what was approved in the original affidavit or charter contract and increasing enrollment by at least 50% of the current LEA enrollment (a minimum of 100 additional students – existing school must serve

at least 200) by the time the replication is fully implemented. This results in multiple separate schools under a single charter.

- Additional sites that have opened within the past two years are eligible to apply for expansion/replication start-up funds, provided that CSP funds have not already been directed to the this site's start-up.
- In a replication, the additional site will be required to have its own enrollment process and lottery, and enrollment preference does not cross school sites. The additional separate site will also have separate performance outcomes in the charter contract with the school's authorizer.

### **TECHNICAL ASSISTANCE IN-PERSON TRAINING FOR APPLICANTS**

An in-person technical assistance training will be offered to applicants on Monday, December 19, 2016 from 8:30 a.m. – 11:00 a.m. Central Standard Time at the Minnesota Department of Education in Roseville, Conference Center B, Room 17. All applicants are strongly encouraged to participate. The training will review each section of the grant proposal application including the type of information being sought, the depth of detail necessary and the importance of various elements.

Up to two people from each approved charter school are encouraged to attend. To register for this training, please email [mde.charterschools@state.mn.us](mailto:mde.charterschools@state.mn.us) by Friday, December 16, 2016. Please include attendee names, contact information and the name of the school represented.

Attendees are encouraged to begin drafting their schools' CSP proposal in advance of the training. Attendees will find it helpful to bring along proposal drafts (electronic) and laptop computers. Foundational documents for the school and documents related to the new school may be helpful to bring. Some work time may be included as time permits, and applicants may also consider attending the work session described below.

### **GRANT APPLICATION WORK SESSION**

An informal work session for applicants will be held on Friday, January 20, 2017 from 1:00 p.m.–4:00 p.m. Central Standard Time at the Minnesota Department of Education in Roseville, Conference Center A, Room 3 & 4. Applicants will have the opportunity to work independently on proposals and ask questions. While specific questions will be addressed, **proposal drafts will not be reviewed by MDE personnel**. To register for this work session, please email [mde.charterschools@state.mn.us](mailto:mde.charterschools@state.mn.us) by Friday, January 17, 2017. Please send the attendee names, contact information, and the name of the charter school represented.

### **GENERAL EXPECTATIONS OF GRANTEES**

- Must submit expenditure and program progress reports by the dates indicated in the Official Grant Award Notification (OGAN).
- Must maintain a ledger to track the grant budget expenditures and payment reimbursements plus all documents that support your budget line item expenses.
- Must have a conflict of interest policy.

- Must use the Uniform Financial Accounting and Reporting Standards (UFARS) and the financial reporting forms provided by the department.
- Must provide MDE with any information that is necessary within the timelines specified so MDE may conduct their reporting under the Federal Funding Accountability and Transparency Act (FFATA). Refer to the [federal site for more information on this Act](#). The department will contact you if additional information is necessary.

Prior to executing the grant award document (OGAN), MDE will conduct a pre-award risk assessment to consider your capacity to successfully administer the grant. Potential grantees must cooperate with MDE if documentation is requested in order to complete this assessment.

For a grant over \$50,000, one monitoring visit per grant period is required and an annual visit is required on grants over \$250,000. Monitoring visits may be conducted in person or over the phone. In addition, financial reconciliations of grantees' expenditures must be conducted at least once during the grant period on grants over \$50,000.

## APPLICANT QUESTIONS

The following Program Contact is available to provide additional information or answer questions:

Jennifer R. Nelson  
[mde.charterschools@state.mn.us](mailto:mde.charterschools@state.mn.us)  
 651-582-8791

Questions must be submitted to the program contact through email by 11:59 p.m. Central Standard Time on Friday, January 20, 2017. A question and answer document will be published on the [grant opportunity site](#) under open grant opportunities after Tuesday, January 24, 2017, 3:30 p.m. Central Standard Time.

Questions related to the grant opportunity may **only** be answered by MDE's Program Contact identified above or her successor. Information received from an unauthorized source is not binding and could result in misinformation.

## RESOURCES FOR APPLICANTS

### Minnesota's Charter School Law

- Access [Minnesota Statutes, Chapter 124E](#)

### Minnesota Department of Education (MDE)

- Access the [Minnesota Department of Education's webpage](#)
- Access [MDE's charter schools page](#)

### U.S. Department of Education; Office of Innovation & Improvement

- Access [federal public charter schools program site](#)
- Access the [Elementary and Secondary Education Act of 1965, as amended, Title V, Part B, Subpart 1 - Public Charter Schools](#)

- [Non-Regulatory Guidance Handbook on Charter Schools Program](#)

### **State of Minnesota**

- [Office of the Minnesota Attorney General – Charities Division](#)
- [Office of the Minnesota Secretary of State - Nonprofits](#)

### **Minnesota Resource Organizations**

- [Minnesota Association of Charter Schools](#)
- [Center for School Change](#)
- [Charter School Partners](#)
- [Minnesota School Board Association](#)
- [Minnesota Council of Nonprofits](#)

### **National Resource Organizations**

- [National Charter School Resource Center](#)
- [National Alliance for Public Charter Schools](#)
- [National Association of Charter School Authorizers](#)

### **UFARS Reporting**

Minnesota school districts and charter schools must report their expenditures under the guidelines in the Uniform Financial Accounting and Reporting System. Learn more about [UFARS and access the UFARS manual](#).

### **Capital Assets**

- Read the [Capital Assets Guide](#)

### **Federally Funded Grants**

- Federal Guidance

Please refer to the federal office of management and budget guidance for cost principles for state, local and Indian tribal governments, institutions of higher education and nonprofit organizations. Information can be accessed below at the [electronic code of federal regulations](#).

- **Indirect Rates for Minnesota Public Schools plus Charter Schools and Education Cooperatives**

Information on school district and LEA current fiscal year indirect cost rates can be access by clicking on Guidance and Reports under the [school finance and financial management site](#) then scrolling down on that page.

### **State Travel Plan**

Commissioner's Travel Reimbursement Plan: Access [current mileage rates and reimbursement rates for lodging](#) (Chapter 15 and Appendix H).



## LETTER OF INTEREST

Eligible HQCS interested in applying for the State Fiscal Year 2017 – Charter School Program (CSP) Expansion/Replication Grant opportunity **must** email a Letter of Interest to [mde.charterschools@state.mn.us](mailto:mde.charterschools@state.mn.us) by **Thursday, January 5, 2016, 4:30 p.m. Central Standard Time.**

## GUIDE TO GRANT APPLICATION

Please read the application materials carefully and follow all instructions. Please refer to the **Application Components Section** and the chart below for details and suggested page limits.

### Required Application Sections and Attachments

| Forms and Attachments  |
|--|
| Application Cover Sheet with Assurances  |
| Authorizer Declaration of Support Form   |
| Charter School Information Form  |
| Charter School Board Member/Developer Contact Information                      |
| Charter/Educational Management Organization (CMO/EMO) Contract (if applicable) |
| Waiver Request (if applicable)   |
| Work Plan Narrative – Up to 41 double spaced pages (see below)                 |
| Budget – Excel Workbook  |

| Work Plan Narrative                        | Suggested Page Limit – total 41 double spaced |
|--|---|
| Part 1: Existing Charter School Background | 12  |
| Part 2: Executive Summary                  | 1   |
| Part 2: Educational Program                | 5   |

| <b>Work Plan Narrative</b>              | <b>Suggested Page Limit – total 41 double spaced</b> |
|---|--|
| Part 2: Accountability Goals            | 4  |
| Part 2: Federal Preference Priorities   | 5  |
| Part 2: State Education Priorities      | 3  |
| Part 2: Governance and Management       | 4  |
| Part 2: Parent and Community Engagement | 2  |
| Part 2: Marketing and Outreach          | 3  |
| Part 2: Authorizer                      | 2  |

## **APPLICATION SUBMISSION AND SIGNATURE**

Applications must be received by (not postmarked) by **Friday, February 3, 2017 at 3:30 p.m. Central Standard Time** to be considered. Late applications will not be considered and will be returned unopened to the submitting party.

- Faxed or emailed applications will not be accepted or reviewed. Delivery service methods are suggested for tracking purposes.
- A total of **six** copies of the application should be submitted (**signed/dated original plus five copies**).
- The Application Cover Sheet must be signed to certify agreement to comply with assurances.
- The **original** signed/dated application must be single-sided, the five copies may be double-sided. Please use the template provided.
- The Authorizer Declaration of Support Form must be included.
- Please include the name of your school and number all pages in the footer of the application template.
- MDE prefers the use of Arial 11 font.
- Do not place copies in folders or binders.
- We are unable to consider audio-visual materials with the proposal. Do not send any material that must be returned.

Mail or deliver the application to:

Pamela Jones, Grant Services  
1500 Highway 36 West – K22  
Roseville, MN 55113-4266

651-582-8651  
Pamela.jones@state.mn.us

Please retain an electronic copy of your application and budget (Word version of proposal narrative, Excel version of budget). Applicants considered for funding will be provided additional technical assistance to fully develop the budget after the peer review process is completed.

**Important:** The grant application is to be original work of the applying program. If a source is used, the materials that are paraphrased or copied **must be cited appropriately**.

Costs associated with preparing the application must be borne by the applicant. The burden of proof of timely submission is on the applicant.

## ***APPLICATION SCREENING AND REVIEW***

### **Phase 1: Screening**

Applications that meet the following criteria will be forwarded for the Phase 2 review:

- d) Application is received (not postmarked) by the due date and time
- e) Received from an applicant that is eligible to apply
- f) Includes all required forms, work plan narrative and budget document

### **Phase 2: Applications Reviewed and Rated by Peers**

Applications are reviewed by a peer review panel based on the criteria outlined in the application component section. The peer review team provides review feedback and scores to Charter Center management and program staff.

### **Phase 3: Notifications, Clarifications, Risk Assessments and Grant Awards**

Ratings, scores and evaluative comments from the peer review panel contribute to funding decisions.

Clarifications may be necessary before the awards are granted which may result in a delay of a grant award. Applicants being considered for funding will be provided additional instruction and technical assistance to develop a detailed budget after the peer review process is completed.

Applicants selected for funding will be notified as soon as possible and

- May receive a full or partial award, depending on the availability of funds, the number of awardees, number of students served or other factors. Funding ranges possible over a maximum three phase grant award are:

|                  |                       |
|------------------|-----------------------|
| Planning         | \$100,000 - \$200,000 |
| Implementation 1 | \$100,000 - \$225,000 |
| Implementation 2 | \$100,000 - \$225,000 |

- Must wait until they receive the signed Official Grant Award Notification (OGAN) **before** providing any services or incurring any expenditure(s). **\*Any expenses incurred prior to**

**the full execution of the OGAN, or other award documentation, are not reimbursable and are the sole responsibility of the applicant/grantee.**

**Important:** A federal CSP grant cannot be awarded until a charter school is incorporated with the State of Minnesota, fully chartered through a contract between the school and authorizer.

## **GRANT APPLICATION COMPONENTS**

### **CHARTER SCHOOLS PROGRAM REPLICATION/EXPANSION**

#### **GRANT OPPORTUNITY INSTRUCTIONS**

##### **APPLICATION COVER SHEET**

The application cover sheet must be completed and include contact information, ID numbers and signatures as well as all other applicable information. Your business manager should have the Minnesota SWIFT Vendor ID Number and federal DUNS number.

- **Name of Legal Applicant:** (legal name of charter school)
- **SWIFT Vendor ID Number**
- **DUNS number**
- **MDE Organization site number:** (district/LEA/charter school number)
- **Total grant amount requested** for the 2017 Planning or Implementation Grant project year
- Contact information for Identified Official with Authority (see below)

##### **IDENTIFIED OFFICIAL WITH AUTHORITY**

The Identified Official with Authority is the person with legal authority to sign legal documents on behalf of the organization.

- For charter schools, the chair of the school's board of directors must sign as the Identified Official with Authority. The identified official must apply their signature to the Application Cover Sheet to demonstrate agreement to comply with assurances.
- The Identified Official with Authority must have no conflict(s) of interest with any party (employee, contractor, vendor, etc.) that has a financial interest in the grant award.
- The Identified Official with Authority must not be compensated or benefit financially, in any way, through a federal CSP grant.

##### **PROGRAM CONTACT INFORMATION**

Complete only if the contact person is different than the Identified Official with Authority.

##### **BUSINESS MANAGER/ACCOUNTING CONTACT INFORMATION**

Complete with available information.

##### **ASSURANCES – STANDARD AND PROGRAM-SPECIFIC**

Your signature on the application Cover Sheet certifies that you have read the application and the assurances in their entirety and that you understand that you must comply with all the terms and conditions--including additional federal, state and local laws or ordinances--in the

performance of this award. The assurances are integrated into the application and **must be** submitted with the application.

**AUTHORIZER DECLARATION OF SUPPORT FORM**

Complete the form provided in the application template. It must be signed by the Authorizer Liaison.

**CHARTER SCHOOL INFORMATION FORM**

Complete the form provided in the application template.

**CHARTER SCHOOL BOARD MEMBER CONTACT INFORMATION**

Complete the form(s) provided in the application template. Ensure that ALL individuals involved with the grant application, and/or board are included.

**WORK PLAN NARRATIVE**

Below are the criteria/elements that must be included in the work plan narrative. Build the narrative in the application template section of the grant opportunity. Follow instructions carefully and do not exceed recommended page counts. MDE recommends the use of Arial 11-point font.

**RATING GUIDE**

The following guide will be used by reviewers to evaluate and rate each section and the proposal as a whole. **Each narrative question has a weighted point value between 5 and 15 points.**

| Point Value of Question | Inadequate | Fair | Satisfactory | Good  | Excellent |
|-------------------------|------------|------|--------------|-------|-----------|
| 15 Points               | 0-3        | 4-6  | 7-9          | 10-12 | 13-15     |
| 10 Points               | 0-2        | 3-4  | 5-6          | 7-8   | 9-10      |
| 5 Points                | 1          | 2    | 3            | 4     | 5         |

|                  | Inadequate                   | Fair                    | Satisfactory                       | Good                              | Excellent                                   |
|------------------|------------------------------|-------------------------|------------------------------------|-----------------------------------|---|
| <b>Complete?</b> | Addresses few or no criteria | Addresses some criteria | Adequately addresses most criteria | Adequately addresses all criteria | More than Adequately addresses all criteria |

|  | <b>Inadequate</b>   | <b>Fair</b>  | <b>Satisfactory</b>   | <b>Good</b>  | <b>Excellent</b>   |
|--|---|--|---|--|--|
| <b>Strength of response?</b>   | Important weaknesses outweigh strengths   | Some strengths, but some important weaknesses  | Strengths outweigh weaknesses   | Key strengths far outweigh weaknesses  | Key strengths and only minor or no weaknesses  |
| <b>Potential for high-performing charter school that will meet federal CSP grant goals and priorities?</b> | Low: This rating applies to a response that contains a number of weaknesses that are likely to adversely impact the development and operation of a high-performing charter school that will meet the goals and priorities of this grant opportunity | Questionable: This rating applies to a response that contains some strengths, but some weaknesses are likely to adversely impact the development and operation of a high-performing charter school that will meet the goals and priorities of this grant opportunity | Possible: This rating applies to a response that contains some weaknesses, but, neither singly or collectively, are they likely to adversely impact the development and operation of a high-performing charter school that will meet the goals and priorities of this grant opportunity | Likely: This rating applies to a response that can be characterized overall as likely to lead to the development of a high-performing charter school that will meet the goals and priorities of this grant opportunity | Very Likely: This rating applies to a response that can be characterized overall as very likely to lead to the development of a high-performing charter school that will meet the goals and priorities of this grant opportunity |
| <b>Eligibility</b>   | A rating of "inadequate" in any section may render the application ineligible for funding   | A rating of "fair" in any section could render the application ineligible for funding  |   |  |  |

## **PART 1: EXISTING CHARTER SCHOOL BACKGROUND**

*Please limit your response to all sections of Part 1 to approximately **twelve** (12) pages.*

Instructions: Applicants are invited to use responses in this section to respond to the areas highlighted in Part 1 of the attached **Significant Expansion/Replication Data Supplement**

*Provide a summary that describes each of the following for the existing charter school:*

### **Academic Achievement (10 Points)**

- Describe the high-quality educational program in place at the existing charter school.
- Document the school's overall success in substantially improving student academic achievement in multiple areas, including science proficiency and areas not measured by statewide assessments.

### **Operational Effectiveness and Stability (10 Points)**

- Describe the charter school's current management and staffing structure and provide persuasive evidence regarding its stability.
- Provide persuasive evidence to support the consideration of the charter school as thriving and financially viable.
- Describe the charter school's student transportation policies and practices.

### **Compliance (5 Points)**

- Disclose and describe any significant compliance issues identified within the past three years for the charter school, including compliance issues in the areas of student safety, financial management, and statutory or regulatory compliance.
- Describe any audit findings over the past three years and any corrective action plans that have been implemented.

### **Stakeholder Satisfaction (5 Points)**

- Provide a description of how parent and staff satisfaction is measured, and how results are utilized.
- Provide evidence of high levels of parent and staff satisfaction, including return rate information.

## **PART 2: EXECUTIVE SUMMARY – NOT SCORED**

*Please limit your response to approximately **one** page.*

Instructions: *Provide a summary that describes the nature of the expansion/replication, including the following:*

- Mission and vision
- Statutory purposes

- Grade levels and total number of students to be served
- Current location and any potential changes in location given the expansion/replication

## **EDUCATIONAL PROGRAM – 15 POINTS**

*Please limit your response to approximately **five** pages.*

Instructions: *Describe the educational program that will be implemented. Discuss how the charter school will eliminate disparities for racial and ethnic groups, and how it will comply with sections [613\(a\) \(5\) and 613\(e\) \(1\) \(B\) of the Individuals with Disabilities Education Act](#).*

*A complete response will have the following characteristics:*

- Complete, coherent educational program is fully described that presents clear plans to improve student academic achievement.
- Convincing research and data are provided that clearly support the use of the educational program for the students targeted by the school, including the curriculum and instructional practices to be used.
- The program is clearly designed to support state academic content standards and how the program will enable all students to meet challenging state student academic achievement standards.
- Plans for serving students with special needs demonstrates evidence of understanding legal requirements:
  - The applicant describes how it will appropriately serve students in the least restrictive environment
  - The applicant describes how it will employ or contract with appropriately licensed special education director, teachers, specialists, etc.
  - The applicant describes how an appropriate Child Find process will be used.
- Equity and Inclusion plan demonstrates understanding of the challenges to academic achievement for students in racial and ethnic groups and/or with disabilities.

## **ACCOUNTABILITY GOALS AND OUTCOMES – 10 POINTS**

*Please limit your response to approximately **four** pages.*

Instructions: *State **up to six** academic and nonacademic goals/outcomes that are included in the charter contract between the expanded/replicated charter school and its authorizer (“project objectives” for the purposes of this grant project). NOTE: If addressing the federal CSP preference priority of Improving Achievement and High School Graduation Rates, present **at least one** accountability goal designed to improve the academic and postsecondary success of high school students that has specific benchmarks to be achieved by the end of the federal CSP sub grant project (see page 3 for federal preference priorities)*



*A complete response will have the following characteristics:*

- Measurable academic achievement goals that focus on *improved* student achievement are provided.
- Presented goals address the expectations of a high-quality charter school (academic proficiency, academic growth and/or graduation rate).
- If addressing the federal CSP preference priority of Improving Achievement and High School Graduation Rates, at least one accountability goal designed to improve the academic and postsecondary success of high school students is included.
- The applicant describes approach related to achieving the goals of the [World's Best Workforce](#).
- A strong plan for how the school will use assessment data to effect teaching and learning to improve *all* pupil learning and *all* student achievement is described.
- A replicated school must have its own project objectives and performance contract separate from the existing school site.

## **FEDERAL CSP PREFERENCE PRIORITIES – 10 POINTS**

*Please limit your response to approximately **five** pages.*

Instructions: *Describe how the expanded/replicated charter school addresses **one or more** of the following federal CSP preference priorities:*

### ***Replicating High-Performing Models***

The applicant proposes to design a school to replicate, in whole or in part, a high-performing model from Minnesota or another state:

- Present compelling data to justify why the identified school is high-performing
- Describe the aspects of the successful model the new school intends to replicate
- Articulate plans to ensure the replication is implemented with fidelity to increase the likelihood of success.

### ***Improving Achievement and High School Graduation Rates***

The applicant articulates plans to accelerate learning and help improve high school graduation rates and/or college enrollment rates for:

- Students with disabilities; and/or,
- English language learners.

And/or by designing a school:

- That will qualify as a rural local education agency (as defined below); or,
- That will qualify as a high-poverty school (as defined below).

And the applicant proposes at least one accountability goal, with specific benchmarks to be achieved by the end of the federal CSP sub grant project, which is designed to improve the academic and postsecondary success of high school students.

### ***Promoting Diversity***

The applicant proposes a school that is designed to promote student diversity. Specifically, sub grant applicants will articulate marketing, outreach and recruitment strategies to:

- Reach families traditionally less informed about education options
- Connect with educationally and economically disadvantaged and hard-to-reach populations
- Avoid racial isolation or the “re-segregation” of schools in the community to be served.

### ***Improving Productivity***

The applicant proposes strategies to improve productivity. Specifically, sub grant applicants articulate intentional strategies designed to significantly increase efficiency in the use of time, staff, money or other resources to address one or more of the following state purposes for charter schools:

- Improve all pupil learning and all student achievement
- Increase learning opportunities for pupils
- Encourage the use of different and innovative teaching methods
- Measure learning outcomes and create different and innovative forms of measuring outcomes
- Establish new forms of accountability for schools
- Create new professional opportunities for teachers, including the opportunity to be responsible for the learning program at the school site.

Definitions:

***High-poverty school*** means a school in which at least 50 percent of students are eligible for free or reduced-price lunches under the [Richard B. Russell National School Lunch Act](#) or in which at least 50 percent of students are from low-income families as determined using one of the criteria specified under [section 1113\(a\)\(5\) of the ESEA](#).

***Rural local educational agency*** means an LEA that is eligible under the Small Rural School Achievement (SRSA) program or the Rural and Low-Income School (RLIS) program authorized under Title VI, Part B of the ESEA. Eligible applicants may determine whether a particular LEA

is eligible for these programs by referring to information on the U.S. [Department of Education's website](#).

*Please note:* An applicant may respond to one or more federal and state CSP preference priorities in the context of other sections of the Work Plan Narrative. As applicable, the response to these sections should summarize key points and then clearly indicate where in the narrative the federal or state CSP priority preference is addressed (reference the section, page numbers, etc.).

## **STATE EDUCATION PRIORITIES – 10 POINTS**

*Please limit your response to approximately **three** pages.*

Instructions: *Applicants must address **one or more** state education priorities under Governor Dayton's 7-Point Plan: Better Schools for a Better Minnesota and Minnesota Department of Education goals. Refer to [Governor Dayton's 7-Point Plan: Better Schools for a Better Minnesota](#):*

*A complete response will have the following characteristics:*

### ***Reading Well by Third Grade***

The applicant articulates plans to accelerate learning and ensure all students are reading well by third grade.

### ***Raise the Bar – Close the Gap***

The applicant articulates plans to decrease achievement gaps by ensuring academic achievement targets are met.

### ***Meeting High Standards Across Content Areas***

The applicant articulates plans to put state academic standards into place so all students have access to high-quality content and instruction.

### ***High School Graduation, College and Career Ready***

The applicant articulates plans to graduate students on time and prepare students for post-secondary success.

### ***Support Teaching for Better Schools***

The applicant articulates plans to establish a robust professional development system and evaluate teacher performance.

## **GOVERNANCE AND MANAGEMENT – 15 POINTS**

*Please limit your response to approximately **four** pages.*

Instructions: *Please provide information on how the expanded/replicated charter school will be governed and managed.*

*A complete response will:*

- Demonstrate that the school leaders are well-positioned to develop, plan and implement an expanded/replicated high-performing charter school:

- Describe the school's leadership team assigned to this project.
- Describe the board's plans for school management and leadership of the expanded/replicated school, including any changes that will occur as a result of the expansion/replicated school.
- The school's board will ensure effective and transparent management of the school's operations:
  - Management plans are sufficient to deliver the proposed educational program
  - Organizational, management and financial plans demonstrate operational effectiveness and fiscal viability
- Demonstrates intent to use a fair and open process to select a well-qualified school leadership team including:
  - Recruitment and hiring timeline(s)
  - Plans to recruit candidates who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age or disability.

*NOTE: If selected for an award, applicants will be asked to provide documentation to verify that open and fair hiring processes took place.*

- If applicable, discuss the school's plan to contract with a management organization or other comprehensive service provider (CMO/EMO):
  - Provide specific evidence demonstrating the provider's successful track record in academic, operational and financial performance
  - Clearly defines the role of the provider in managing/administering the school's federal CSP sub grant
  - Provide a copy of the school's fully-executed management agreement. If the agreement/contract is not yet executed, provide a draft (does not count towards page limit).

**NOTE: Federal CSP grant funds cannot be used for CMO/EMO services/contracts**

- Organizational chart clearly distinguishes between governance (board) and management (school leadership) and provides key roles and responsibilities of each.

## **PARENT AND COMMUNITY ENGAGEMENT – 5 POINTS**

*Please limit your response to approximately **two** pages.*

*Instructions: Describe how parents and other members of the community will be involved in the planning, program design, and implementation of the expanded/replicated charter school.*

*A complete response will have the following characteristics:*

- A vision and strategy for meaningful parent and community support and engagement is presented that is reasonably likely to further the school's mission and program.
- Parent and community engagement begins in the design stage and continues in substantive ways throughout the planning and implementation phases of the school.

## MARKETING AND OUTREACH – 5 POINTS

Please limit your response to approximately **three** pages.

Instructions: Describe how students in the community will be informed about the expanded/replicated charter school, be given equal opportunity to attend the charter school and describe the lottery policy (including separate lotteries for replicated sites). Complete the table provided in the application to identify the number of students expected to attend the charter school (**do not** include prekindergarten or preschool).

A complete response will have the following characteristics:

- Outreach and recruitment plan demonstrates understanding of the community to be served and is likely to be effective, including reaching families traditionally less informed about educational options:
  - Plan addresses how students in the community will be informed about the expanded/replicated charter school and given an equal opportunity to attend this charter school
  - Plan addresses how this school will intentionally and specifically conduct outreach to educationally and economically disadvantaged and hard-to-reach populations.
- Enrollment projections are realistic and supported by evidence of actual or potential demand and marketing and recruitment plans seem likely to generate enrollment sufficient to meet projections. Discusses plans in the event that enrollment is lower than projected.
- Describes how a lottery process will be used to provide equal access to all students who apply:
  - An open admissions and lottery process is described which indicates that the school will not limit admission beyond grade level and class size capacity and will only exempt prospective students from the lottery that are provided preference in federal guidance and [state law](#).
  - For replicated sites, a separate lottery process is described that determines enrollment for the new school site.

## AUTHORIZER – NOT SCORED

Please limit your response to approximately **two** pages.

Instructions: Describe the administrative relationship between the charter school and the authorizer.

A complete response will demonstrate that:

- A clear administrative relationship exists between the school and authorizer that demonstrates an appropriate balance between autonomy and oversight to ensure statutory requirements are met.

- The authorizer has clear plans to use student achievement and other accountability data to evaluate the school's academic, financial and operational performance before charter renewal.

## **BUDGET – NOT SCORED**

*Please complete the accompanying Excel workbook and include justification.*

Instructions: *Complete the Excel workbook to show how the expanded/replicated charter school proposes to use CSP funds on allowable activities. Please refer to the [UFARS Manual](#) for information on what expenses may be included in each object budget code. An applicant may also request a detailed Budget Instructions document by email:*

**[REDACTED]** *An eligible applicant receiving a grant under this program may use the grant funds only for post-award planning and design of the educational program for the expanded/replicated school, which may include:*

- Refinement of the desired educational results and of the methods for measuring progress toward achieving those results
- Professional development of board members, teachers and other staff who will work in the expanded/replicated charter school
- Informing the community about the school
- Acquiring necessary equipment and educational materials and supplies
- Acquiring or developing curriculum materials
- Other initial expansion/replication start-up costs that cannot be met from state or local sources

NOTE: All proposed costs must be reasonable, allowable and necessary for the operation of the expanded/replicated charter school. Federal funds may not be used for food, gifts or entertainment.

### **Minnesota Department of Education**

#### **Charter Center**

Charter School Program Expansion/Replication Grant Opportunity

Name of Program Contact: Jennifer R. Nelson

Phone Number: 651-582-8791

1500 Highway 36 West  
Roseville, MN 55113-4266

T: (651) 582-8200

TTY: (651) 582-8201

<http://education.state.mn.us>

Information on this website can be made available in alternative formats by calling 651-582-8651. Persons with a hearing or speech disability may contact the Minnesota Relay Service by dialing 711 or 1.800.627.3529.

The state of Minnesota is an Equal Opportunity Employer.

## SIGNIFICANT EXPANSION & REPLICATION DATA SUPPLEMENT

This page is provided for **reference only**. Do not fill out the tables. MDE will provide this supplemental data to applicants within one week of receipt of the Letter of Interest.

*Applicants may respond to these data tables within Part 1 of the CSP Grant Proposal Work Plan Narrative. The data will be provided to peer reviewers.*

### ADDITIONAL ACADEMIC DATA

| MCA Science Proficiency | 2014 | 2015 | 2016 |
|-------------------------|------|------|------|
| School, Grade 5         |      |      |      |
| State, Grade 5          |      |      |      |
| School, Grade 8         |      |      |      |
| State, Grade 8          |      |      |      |
| School, High School     |      |      |      |
| State, High School      |      |      |      |

### FINANCIAL DATA

| Positive Indicator                               | FY14 | FY 15 | FY 16 |
|--|------|-------|-------|
| School was not in Statutory Operating Debt (SOD) |      |       |       |
| Received School Finance Award                    |      |       |       |

### TEACHER RETENTION & LICENSING

| Licensed Staff Retention       | 13-14 School Year | 14-15 School Year | 15-16 School Year |
|--------------------------------|-------------------|-------------------|-------------------|
| % Returning from Previous Year |                   |                   |                   |
| Special Permissions            |                   |                   |                   |
| % Teachers on Variance         |                   |                   |                   |
| % Teachers on Waiver           |                   |                   |                   |
| % Teachers Community Expert    |                   |                   |                   |
| % Teachers Limited License     |                   |                   |                   |
| % Teachers Non-Renew License   |                   |                   |                   |

**CHARTER SCHOOLS PROGRAM SIGNIFICANT EXPANSION/REPLICATION  
 COMPETITIVE – 859 – FEDERAL – STATE FISCAL YEAR 2017  
 GRANT OPPORTUNITY APPLICATION**

| APPLICANT INFORMATION  |  |             |                   |
|--|--|-------------|-------------------|
| Legal Name of Applicant (Charter School District/Organization)   |  |             |                   |
| REQUIRED ID NUMBERS AND LOCATION INFORMATION   |  |             |                   |
| SWIFT Vendor Number  |  | DUNS Number |                   |
| MDE Organization Site (Charter School) Number  |  |             |                   |
| Total Grant Funds Requested (maximum \$200,000)  |  | \$          |                   |
| OFFICIAL WITH AUTHORITY INFORMATION  |  |             |                   |
| Name of official with authority to sign  |  |             |                   |
| Title  |  |             |                   |
| Address  |  |             |                   |
| City, Zip code + 4   |  |             |                   |
| Phone Number   |  |             |                   |
| Email  |  |             |                   |
| SIGNATURE(S)   |  |             |                   |
| SIGNATURE OF OFFICIAL WITH AUTHORITY TO SIGN:  |  |             |                   |
|  |  |             |                   |
|  |  |             | DATE SIGNED _____ |
| I certify I have read the application (narrative, assurances, budget and supplemental documents, if applicable) and will comply with the approved application and assurances herein including additional state, local, federal regulations and policies governing the funding that apply to my agency. |  |             |                   |
| GRANT PROGRAM CONTACT INFORMATION  |  |             |                   |
| Name   |  |             |                   |
| Title  |  |             |                   |
| Organization   |  |             |                   |
| Address  |  |             |                   |
| City, ZIP  |  |             |                   |
| Phone  |  |             |                   |
| Email  |  |             |                   |



| <b>BUSINESS MANAGER/ACCOUNTING CONTACT INFORMATION</b> |  |
|--|--|
| <b>Name</b>  |  |
| <b>Title</b>   |  |
| <b>Organization</b>                                    |  |
| <b>Address</b>   |  |
| <b>City, ZIP</b>                                       |  |
| <b>Phone</b>   |  |
| <b>Email</b>   |  |

**Applications must be received by (not postmarked) by 3:30 p.m.  
Central Time on Friday, February 3, 2017.**

**ASSURANCES – MUST BE SUBMITTED WITH YOUR APPLICATION**

By signing the coversheet, the applicant certifies they have read all application documents including any revised documents and agrees to comply with the approved application, budget and assurances herein and all other applicable federal, state and local laws, ordinances, rules and regulations, public policies.

**1. Survival of Terms**

The following clauses survive the expiration or cancellation of this award: 4) State and Federal Audits; 5) Liability; 6) Ownership of Materials and Intellectual Property Rights; 7) Publicity; 8) Government Data Practices; 9) Data Disclosure; and 12) Governing Law, Jurisdiction and Venue.

**2. Use of Funds**

The use of funds shall be limited to that portion identified in the application materials and the attached application and by any applicable state or federal laws. Funds may not be used for gifts or novelty items (unless individually and specifically approved by the state) or for payments to vendors displaying exhibits for their profit. Funds may not be used to pay for or support other projects that are not identified in this application. Funds may not be used for the benefit of state employees, which includes, but is not limited to, reimbursement for any of their expenditures, including travel expenses, alcohol purchases, costs of registration fees for training sessions or educational courses presented or arranged, payments to state employees for presentations at workshops, seminars, etc., whether on state time, vacation time, leave of absence or any other non-work time.

A. The grantee, in the conduct of activities under this award, shall submit such reports as may be required by written instructions of the state within the times required by it. The state shall withhold funding if reporting requirements are not met in a complete, accurate and timely manner. The grantee must promptly return to the state any unexpended funds that have not been accounted for in an accepted financial report to the State due at grant closeout.

B. The grantee shall present reports to the Commissioner of the Department of Education (COMMISSIONER) or state's Authorized Representative. At the COMMISSIONER'S discretion, the reports may be presented at departmental, legislative, other state agency or public meetings where the grantee shall be available to explain the project and to respond to questions.

C. Reimbursement for travel and subsistence expenses actually and necessarily incurred by grantee in performance of this project will be paid provided that the grantee shall be reimbursed for travel and subsistence expenses in the same manner and in no greater amount than in the current "Commissioner's Plan," promulgated by the Commissioner of Minnesota Management & Budget (MMB), and grantee will only be reimbursed for travel and subsistence outside the state of Minnesota if it has received prior written approval for such out-of-state travel from the State. Exceptions to these travel rates are those that may be negotiated with the University of Minnesota. The current Commissioner's Plan can be viewed at (<http://www.mmd.admin.state.mn.us/commissionersplan.htm>) or [Access this link to obtain current maximum expense reimbursement rates](#)

### **3. Equipment**

Upon termination of the award, the state shall have the right to require transfer or return of any equipment purchased during the award grant period using these grant funds.

### **4. Financial and Administrative Provisions**

#### ***A. Allowability of Costs.***

The allowability of costs for federal funding incurred under this award shall be determined in accordance with the procedures and principles given in the federal Office of Management and Budget (OMB) circulars relocated to 2 CFR, Part 200 and in the approved budget.

For all funds, no claim for materials purchased in excess of budget categories or program services not specifically provided for in this award by the grantee will be allowed by the state unless approved in writing by the state. Such approval shall be considered to be a modification of the award. There may be additional limitations on allowable costs which shall be noted in the award.

Purchases of food for meetings, gifts and entertainment are not allowable. Refer to the applicable federal uniform guidance for cost principle information.

A meeting or conference hosted by a grantee and charged to the grant must not be promoted as a U S Department of Education conference.

**Records.** The grantee shall maintain books, records, documents and other evidence pertaining to the costs and expenses of implementing this application to the extent and in such detail as will accurately reflect all gross costs, direct and indirect, of labor materials, equipment, supplies, services and other costs and expenses of whatever nature. The grantee shall use generally accepted accounting principles. The grantee shall preserve all financial and cost reports, books of account and supporting documents and other data evidencing costs allowable and revenues and other applicable credits under this award which are in the possession of the grantee and

relate to this award, for a period of no less than six years and the respective federal requirements where applicable.

All pertinent records and books of accounts related to this award and subsequent awards shall be preserved by the grantee for a period of six years subject to the following criteria:

- 4) The six-year retention period shall commence from the date of submission of the final expenditure report.
- 5) If any litigation, claim or audit is started before the expiration of the six-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.
- 6) The grantee agrees to cooperate in any examination and audit under the provisions of this paragraph.

### ***B. Examination.***

The state or its representative or the federal administering department (when applicable) shall have the right to examine books, records, documents and other evidence and accounting procedures and practices, sufficient to reflect properly all direct and indirect costs and the method of implementing the award. The grantee shall make available at its office and at all reasonable times before and during the period of record retention, proper facilities for such examination and audit.

### ***C. State and Federal Audits.***

Under Minnesota Statutes, section 16B.98, Subdivision 8, the grantee's books, records, document, and accounting procedures and practices relevant to this grant are subject to examination by the state and/or the state auditor or legislative auditor, as appropriate, for a minimum of six years from the end of this grant agreement, receipt and approval of all final reports, or the required period of time to satisfy all state retention requirements, whichever is later. If federal funding, all grantees are subject to retention requirements related to audits.

If the grantee (in federal OMB Circular language known as "subrecipient") receives federal assistance from the state of Minnesota, it will comply with the applicable single audit requirements. The grantee will provide copies of the single audit reporting package upon request.

## **5. Liability**

Grantee agrees to indemnify and save and hold the state, its agents and employees harmless from any and all claims or causes of action, including all attorneys' fees incurred by the state arising from the performance of the award by grantees, agents or employees. This clause shall not be construed to bar any legal remedies grantee may have for the state's failure to fulfill its obligations pursuant to the award and subsequent awards.

## **6. Ownership of Materials and Intellectual Property Rights**

### **A. Intellectual Property Rights.**

The state shall 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 the award. Works means all inventions, improvements, discoveries (whether or not patentable), databases, computer programs, reports, notes, studies, photographs, negatives, designs, drawings, specifications, materials, tapes and disks conceived, reduced to practice, created or originated by the grantee, its employees, agents and subcontractors, either individually or jointly with others in the performance of this award. Works includes "Documents." Documents are the originals of any databases, computer programs, reports, notes, studies, photographs, negatives, designs, drawings, specifications, materials, tapes, disks or other materials, whether in tangible or electronic forms, prepared by the grantee, its employees, agents or subcontractors in the performance of this award. The documents will be the exclusive property of the state and all such documents must be immediately returned to the state by the grantee upon completion or cancellation of the award. To the extent possible, those works eligible for copyright protection under the United States Copyright Act will be deemed to be "works for hire." The grantee assigns all right, title and interest it may have in the works and the documents to the state. The grantee, at the request of the state, shall execute all papers and perform all other acts necessary to transfer or record the state's ownership interest in the works and documents.

### **B. Obligations:**

#### ***Notification***

Whenever any invention, improvement or discovery (whether or not patentable) is made or conceived for the first time or actually or constructively reduced to practice by the grantee, including its employees and subcontractors, in the performance of the award, the grantee will immediately give the state's authorized representative written notice thereof, and must promptly furnish the authorized representative with complete information and/or disclosure thereon.

#### ***C. Representation***

The grantee must perform all acts, and take all steps necessary to ensure that all intellectual property rights in the works and documents are the sole property of the state, and that neither the grantee nor its employees, agents, or subcontractors retain any interest in and to the works and documents. The grantee represents and warrants that the works and documents do not and will not infringe upon any intellectual property of other persons or entities. Notwithstanding Liability clause 5, the grantee will indemnify; defend, to the extent permitted by the Attorney General; and hold harmless the state, at the grantee's expense, from any action or claim brought against the state to the extent that it is based on a claim that all or part of the works or documents infringe upon the intellectual property rights of others. The grantee will be responsible for payment of any and all such claims, demands, obligations, liabilities, costs and damages, including but not limited to, attorney fees. If such a claim or action arises, or in the grantee's or the state's opinion is likely to arise, the grantee, must at the state's discretion, either procure for the state the right or license to use the intellectual property rights at issue or

replace or modify the allegedly infringing works or documents as necessary and appropriate to obviate the infringement claim. This remedy of the state will be in addition and not exclusive of other remedies provided by law.

## 7. Publicity

Any publicity given to the program, publications or services provided resulting from the award, including, but not limited to, notices, website publications, informational pamphlets, press releases, research, reports, signs and similar public notices prepared for the grantee or its employees individually or jointly with others or any subrecipients, **shall publicly identify the state as the sponsoring agency and identify the source of funding**. The publicity described may only be released with the prior approval of the state's authorized representative.

The applicant/awardee must **not** claim that the state **or** the federal Department of Education **endorses** its products or services.

*Example: The contents of this publication, film or conference do not necessarily represent the policy of the federal Department of Education or the state Department of Education and you should not assume endorsement by the federal or state government.*

See the sample statement below for citing the funding source below.

*This training is funded, in part, with a grant from the Minnesota Department of Education using federal funds, CFDA 84.282A – Charter Schools Program, Title V, Part B.*

## 8. Government Data Practices and Disclosure of Breach in Security

The grantee and the State must comply with the Minnesota Government Data Practices Act, Minnesota Statutes, Chapter 13, as it applies to all data provided by the state under the award, and as it applies to all data created collected, received, stored, used, maintained or disseminated by the grantee under the award. The civil remedies of Minnesota Statutes, section 13.08 apply to the release of the data referred to in this paragraph by either the grantee or the state.

If the grantee receives a request to release the data referred to in this paragraph, the grantee must immediately notify the state. The state will give the grantee instructions concerning the release of the data to the requesting party before the data is released.

Effective August 1, 2014, the 2014 Laws of Minnesota, Charter 284, amends Minnesota Statutes, section 13.055, to apply to all government entities in Minnesota, not just state agencies. This applies to all school districts and charter schools. Government entities must notify individual data subjects when nonpublic data about them has been the subject of a breach of security of the data.

## 9. Data Disclosure

Under Minnesota Statutes, section 270C.65, and other applicable laws, the grantee consents to disclosure of its SWIFT Vendor ID Number, Social Security number, DUNS number, federal employer tax identification number and/or Minnesota tax identification number, already provided

to the state, to federal and state tax agencies and state personnel involved in the payment of state obligations. These numbers may be used in the enforcement of federal and state tax laws which could result in action requiring the grantee to file state tax returns and pay delinquent state tax liabilities, if any.

### **10. Worker's Compensation**

Grantee certifies that it is in compliance with Minnesota Statutes, section 176.181, subdivision 2, pertaining to workers' compensation insurance coverage. The grantee's employees and agents will not be considered state employees. Any claims that may arise under the Minnesota Workers' Compensation Act on behalf of these employees and any claims made by any third party as a consequence of any act or omission on the part of these employees are in no way the state's obligation or responsibility. (Exemption/Waiver as allowed under law.)

### **11. Antitrust**

Grantee hereby assigns to the state of Minnesota any and all claims for overcharges as to goods and/or services provided in connection with the award resulting from antitrust violations which arise under the antitrust laws of the United States and the antitrust laws of the state of Minnesota.

### **12. Governing Law, Jurisdiction and Venue**

Minnesota law, without regard to its choice-of-law and provisions, governs the award. Venue for all legal proceedings arising out of the award, or its breach, must be in the appropriate state or federal court with competent jurisdiction in Ramsey County, Minnesota.

### **13. Lobbying**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 2 CFR, Part 200, the grantee when signing the application, certifies that:

- D. No federally appropriated funds have been paid or will be paid, by or on behalf of organization, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any federal award, and the extension, continuation, renewal, amendment or modification of any federal award.
- E. If any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal award, the grantee shall complete and submit a Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- F. The grantee shall require that the language herein shall be included in any award documents for all subawards at all tiers (including subgrants, contracts under award, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### **14. Debarment, Suspension, and Other Responsibility Matters**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 2 CFR 180.200 or amendments thereto, for prospective participants in primary covered transactions.

The grantee, when signing this application, certifies that it and its principals:

- 5) Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any federal department or agency;
- 6) Have not within a three-year period preceding this application or award been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property;
- 7) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and,
- 8) Have not within a three-year period preceding this application had one or more public transaction (federal, state or local) terminated for cause or default.

#### **15. Drug-Free Workplace (Awardees Other Than Individuals)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 2 CFR, Part 200,

A. The grantee certifies that it will continue to provide a drug-free workplace by:

- 1) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- 2) Establishing an on-going drug-free awareness program to inform employees about:
  - (a) The dangers of drug abuse in the workplace;
  - (b) The grantee's policy of maintaining a drug-free workplace;
  - (c) Any available drug counseling, rehabilitation and employee assistance programs; and
  - (d) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

3) Making it a requirement that each employee to be engaged in the performance of the award be given a copy of the statement required by paragraph (1);

4) Notifying the employee in the statement required by paragraph (1) that, as a condition of employment under the award, the employee will:

(a) Abide by the terms of the statement; and,

(b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

5) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (4) (b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected award;

6) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (4) (b), with respect to any employee who is so convicted:

(a) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or,

(b) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state or local health, law enforcement or other appropriate agency;

7) Making a good faith effort to continue to maintain a drug-free workplace through implementation of Paragraphs (1), (2), (3), (4), (5) and (6).

## **16. Transferability**

The grantee shall not transfer or assign to any party or parties any right(s), obligation(s) or claim(s) under the award without the prior written consent of the state. It is understood, however, that grantee remains solely responsible to the state for providing the products and services described.

## **17. Time**

The grantee must comply with the time requirements described in the application and award, in the performance of this award and if inform the grantor of any potential long term delays or changes affecting those timelines.

## **18. Nondiscrimination**

The grantee will comply with nondiscrimination statutes

- F. Grantees will follow the Civil Rights Act of 1964 and amendments thereto which prohibits discrimination on the basis of race, color, or national origin



- G. Section 504 of the Rehabilitation Act of 1973, and amendments which prohibits discrimination on the basis of disability
- H. Title IX of the Education Amendments of 1972 which prohibits discrimination on the basis of sex in education programs
- I. Age Discrimination in Employment Act of 1975 and amendments.
- J. In addition, per federal CFR 200.415, Agreement of Applicant, which states that prior to the Commissioner's issuance of any commitment or other loan approval, shall agree, by signing the application, (in a form prescribed by the Commissioner), that there shall be no discrimination against anyone who is employed in carrying out work receiving assistance pursuant to this chapter, or against an applicant for such employment, because of race, color, religion, sex, handicap, age or national origin.

## **19. Pre-Award Work and Pre-Award Costs**

The grantee understands that no work should begin and no pre-award costs would be covered under this award until all required signatures have been obtained; an Official Grant Award Notification (OGAN) has been issued or other award documentation has been received and the grantee is notified to begin work by the state's program authorized representative or their designee. If an exception to this is determined necessary by MDE, the grantee would be informed in writing or email by the state's program authorized representative or designee.

## **20. Grantee's Grant Program Authorized Representative**

The applicant's Program Authorized Representative will be named on the OGAN or other award information. If the Program Authorized Representative or official with authority to sign changes at any time during the grant award period, the applicant/grantee must immediately notify the state.

## **21. Delinquent State or Federal Debt**

As an applicant, you are not delinquent on the repayment of any federal debt. If delinquent in state debt, payments shall not be made by the state agency to the vendor until the commissioner notifies the agency the vendor is no longer a delinquent taxpayer or as otherwise indicated under Minnesota Statutes, section 270C.65, Subdivision 3.

## **22. Cancellation With or Without Cause**

An award contract may be cancelled by the state at any time, with or without cause, upon thirty (30) days' written notice to the Grantee. Upon termination, the Grantee will be entitled to payment, determined on a pro rata basis, for services satisfactorily performed and for approvable expenditures.

### **23. Cancellation Due to Discontinued or Insufficient Funding**

It is expressly understood and agreed that in the event the funding to the state from Federal sources or appropriations by the Minnesota Legislature are not obtained and/or continued at an aggregate level sufficient to allow for the grantee's program to continue operating, the grant shall immediately be terminated upon written notice by the state to the grantee. The state is not obligated to pay for any services that are provided after notice and effective date of termination. However, the grantee will be entitled to payment, determined on a pro-rata basis, for services satisfactorily performed and approvable expenditures incurred prior to termination to the extent that funds are available. The state will not be assessed any penalty if the grant is terminated because of a decision of the Minnesota Legislature, or other funding source, not to appropriate funds. The state must provide the grantee notice within a reasonable time of the state receiving notice.

### **24. Cancellation Due to Failure to Comply**

The state may cancel an award contract immediately if the state finds that there has been a failure to comply with the provisions of an award, that reasonable progress has not been made or that the purposes for which the funds were awarded/granted have not been or will not be fulfilled. The state may take action to protect the interests of the state of Minnesota, including the refusal to disburse additional funds and requiring the return of all or part of the funds already disbursed.

### **25. Salaries – Supplanting**

Grant funds shall not be used to supplant salaries and wages normally budgeted for an employee of the applicant/agency. Total time for each staff position paid through various funding streams financed in part or whole with grant funds shall not exceed one Full Time Equivalent (FTE) except in certain situations. The grantee may allow staff to work on extended day assignments such as after school programs, special education services or other projects, if necessary, or allowable under funding. The grantee must be prepared to disclose all required supporting documentation for salaries paid for their employees.

### **26. Conflict of Interest**

In accordance with the Minnesota Office of Grants Management Policy 08-01, the grantee will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or present the appearance of personal or organizational conflicts of interest, or personal gain.

### **27. Voter Registration Services**

The commissioner or chief administrator officer of each state agency or community-based public agency or nonprofit corporation that contracts with the state agency to carry out obligations of the state agency shall provide voter registration services for employees and the public. Refer to Minnesota Statutes, section 201.162, Duties of State Agencies for the complete statute.

## **28. Contracting – Nongovernmental Entities**

Nongovernmental entities must follow state procurement practices for contracting and bidding. Refer to state Office of Grants Management Policies for best practices. Support documentation of procurement processes must be retained. Refer to Minnesota Statutes, section 16C.06, Subdivision 1 regarding the threshold of \$25,000 for public notice. Other purchasing thresholds are in the policy here: [Department of Administration's purchasing policies](#).

Support documentation for procurement processes must be retained.

## **29. Amendments**

Any amendment to an award must be in writing and will not be effective until it has been executed and approved by the same parties who executed and approved the original grant award, or their successors in office.

## **30. Publications on MDE Website**

When a grant includes the production of a report or other publication and this publication may be posted on the MDE Website, that document must adhere to all MDE Communication's policies, available upon request from the Communication's Division.

## **31. Return Unexpended Funds**

The grantee must promptly return to the state any unexpended funds that have not been accounted for in a financial report or supporting documentation at grant closeout.

## **32. FERPA**

The grantee shall comply with any and all provisions of the Family Educational Rights to Privacy Act of 1974.

## **33. Text Messaging While Driving**

Federal grant recipients, subrecipients and their grant personnel are prohibited from text messaging while driving a government owned vehicle, or while driving their own privately owned vehicle during official grant business, or from using government supplied electronic equipment to text message or email when driving. Recipients must comply with these conditions under Executive Order 13513, "Federal Leadership on Reducing Text Messaging While Driving", October 1, 2009.

## **34. Cash Management Improvement Act of 1990**

The grantee assures that if the award involves federal funding the reimbursement of expenditures is in compliance with all program provisions, relevant provisions of the Cash Management Improvement Act of 1990 (Public Law 101-453) as amended by the CMIA of 1992 (Public Law 102-589), codified at 31 U.S.C. 6501 and 31 U.S.C. 6503; all current Office of Management and Budget circulars and cost principles, with the current Federal Education Department General Uniform Administrative Regulations, Part 200 or other applicable code of federal regulations applicable to this federal reimbursement request.

### **35. Official Grant Award Notification**

Grantees must follow the reporting requirements and terms outlined in the Official Grant Award Notification (OGAN) or other award documentation.

### **36. Resource Conservation and Recovery Act of 1976**

Grantee if a political subdivision of the state and funded with federal dollars, will consider the federal Resource Conservation and Recovery Act of 1976 in all procurement transactions. The objectives of the Resource Conservation and Recovery Act (RCRA) are to protect human health and the environment from the potential hazards of waste disposal, to conserve energy and natural resources, to reduce the amount of waste generated, and to ensure that wastes are managed in an environmentally sound manner.

### **37. Internal Control Processes**

Non-federal entities with federal grants must implement internal control processes as referenced in CFR 200.61 and 200.62.

### **38. Other Administrative Assurances**

- I. Grantees funded with federal funding must follow 200.308, Revision of Budget and Program or as approved in the Official Grant Award Notification (OGAN).
- J. Non-federal entities with federal grants will take reasonable measures to safeguard protected personally identifiable information as well as any information that the federal awarding agency or pass-through designates as sensitive. Refer to federal regulation 200.303, Protected Personally Identifiable Information means as individual's first name or first initial and last name in combination with any one or more types of information such as social security number, credit card numbers, place of birth.
- K. The non-federal entity using federal funding when contracting must take all necessary affirmative steps to assure that minority businesses, women's business enterprises and labor surplus area firms are used when possible. Refer to 200.321 for more information.
- L. Grantee and their subrecipients of federal grant funds will adopt the requirements in the Code of Federal Regulations at 2, CFR 175.15 (b) pertaining to Trafficking in Persons. These requirements are incorporated into this grant award. A grant may be terminated for any violation of these provisions by the grantee, its employees or its subrecipients.
- M. Grantees and subcontractors receiving grants exceeding \$100,000 must comply with all applicable standards, orders, or requirements under Section 306 of the Clean Air Act, Section 508 of the Clean Water Act and Environmental Protection Agency regulations (40 CFR, part 15).
- N. The non-federal entity or applicant for a federal award must disclose, in a timely manner, in writing to the federal awarding agency or pass-through entity all violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal

award. Failure to make required disclosures can result in any of the remedies described in 200.338 Remedies for noncompliance, including suspension and debarment.

O. If the initiative is federally funded with an award from the federal Office of Education, grantees must follow all other applicable uniform guidance under 2 CFR, Part 200 as applicable.

P. Grantees will provide information to MDE, upon request and in a timely fashion to accommodate MDE's reporting under the Federal Funding Accountability and Transparency Act.

## **Program Specific Assurances/Provisions**

### **39. Operating Statute**

Charter Schools must operate in accordance with Minnesota Statutes, section 124.E

### **40. Creation and Operation**

The public charter school is created by a developer as a public school, or is adapted by a developer from an existing public school, and is operated under public supervision and direction;

### **41. Educational Programs**

A public charter school a) operates in pursuit of a specific set of educational objectives determined by the school's developer and agreed to by the authorized public chartering agency  
b) provides a program of elementary or secondary education, or both;

### **42. Nonsectarian**

A public charter school is nonsectarian in its programs, admissions policies, employment practices and all other operations, and is not affiliated with a sectarian school or religious institution;

### **43. Tuition**

A public charter school does not charge tuition.

### **44. Lottery**

A public charter school is a school to which parents choose to send their children, and that admits students on the basis of an annual lottery, if more students apply for admission than can be accommodated.

### **45. Safety Requirements**

A public charter school meets all applicable, state, federal and local health and safety requirements.

### **46. Additional Public Charter School Provisions**

U. Agrees to comply with the same federal and state audit requirements as do other elementary schools and secondary schools in the state;

- V. Operates in accordance with state law; and
- W. Has a written performance contract with the authorized public chartering agency in the state that includes a description of how student performance will be measured in charter schools pursuant to state assessments that are required of other schools and pursuant to any other assessments mutually agreeable to the authorized public chartering agency and the charter school.
- X. The charter school will annually provide the U.S. Secretary of Education and the Minnesota Department of Education (MDE) such information as may be *required to* determine if the charter school is making satisfactory progress toward achieving the goals and objectives of this project. This includes participation in any federal or state funded charter school evaluations or studies and compliance with all requests for information.
- Y. The charter school will cooperate with the U.S. Secretary of Education and MDE in evaluating Minnesota's Federal CSP Grant Project.
- Z. The charter school will comply with all terms and conditions of the current and amended editions of *General Overview for CSP Grantees*, MDE's policy guidance for this grant project.
- AA. School developers, board members and personnel will fully and appropriately participate in all mandatory MDE training sessions and meetings.
- BB. The charter school must maintain an active board of directors in accordance with Minnesota Statutes, section 124E.07, Subdivision 1.
- CC. In compliance with Minnesota Statutes, section 123B.03, the charter school's board ("school hiring authority") will conduct criminal history background checks on individuals offered employment or service opportunities at the school.
- DD. In compliance with Minnesota Statutes, section 125B.05, Subdivision 3, the charter school will use only state-approved accounting and reporting software.
- EE. In compliance with Minnesota Statutes, section 363A.08, the charter school will use and maintain open and fair employment practices.
- FF. The charter school will comply with Uniform Financial Accounting and Reporting Standards for Minnesota School Districts (UFARS) and Generally Accepted Accounting Practices (GAAP).
- GG. The charter school employs or contracts with a Special Education Director and will maintain this position at all times.
- HH. The charter school will publish an annual report as provided in Minnesota Statutes, section 124E.16, Subdivision 2.
- II. Equipment, non-consumable supplies and other non-consumable items purchased under the federal award are intended for approved purposes identified under the grant. If a charter school closes or is no longer able to utilize purchased items of value, they must be distributed to other charter schools, for similar purposes, at the discretion of the state. The charter schools will maintain and submit property

inventory records of all equipment, assets and non-consumable items purchased with federal CSP grant funds.

JJ. The charter school will avoid apparent and actual conflicts of interest when administering grants and entering into contracts for equipment and services. U.S. Department of Education regulations prohibit a person from participating in an administrative decision regarding a project if (a) the decision is likely to benefit that person or his or her immediate family member; and (b) the person is a public official or has a family or business relationship with the grantee. A person may not participate in a project to use his or her position for a purpose that is – or gives the appearance of being – motivated by a desire for a private or financial gain for that person or for others. Grantees must have a conflict of interest policy in place and adhere to that policy throughout the grant period.

KK. The charter school, when using federal funds to enter into a contract for equipment or services, will comply with the procurement standards set forth in the U.S. Department of Education's regulations which require federal grant recipients to develop written procurement procedures and to conduct all procurement transactions in a manner to provide, to the maximum extent possible, open and free competition. No employee, officer, or agent of the charter school may participate in the selection, award, or administration of any contract supported by federal funds if a real or apparent conflict of interest exists.

LL. If grant funds are used for activities not indicated in the application without prior approval, grant funds may need to be returned or canceled. All budgetary and program activity modifications must be approved by MDE in writing before they are allowable.

MM. The applicant understands ongoing use of CSP funds is contingent upon compliance with state and federal requirements applicable to a public charter school. Only costs related to the start-up and initial implementation of the expanded/replicated charter school are allowable. A charter school may not encumber or obligate CSP funds before a charter contract is executed or after a charter contract has expired or been terminated.

NN. The charter school will comply with all required state and federal assurances. *Continued funding is contingent upon evidence of compliance with project requirements and continued availability of federal funds.*

U. The charter school assures that federal charter school grant fund will not be used to make direct or indirect payments to a charter management organization, its contractors, employees or board members (*Charter Schools Program, Title V, Part B of the ESEA Nonregulatory Guidance 2014*).

#### **47. Fiscal Provisions**

E. The grantee may expend grant funds in a manner that exceeds approved line item amounts by a total of up to 10 percent of the project period grant award without pre-approval from MDE (according to budget guidance – some exceptions apply).

F. Total line item deviations exceeding 10 percent of the total project period award must be approved by MDE in writing prior to expenditure or legal obligation of those funds.

- G. Expenditure of grant funds for un-approved costs is not allowable.
- H. CSP grantees must maintain compliance with state and federal laws and up-to-date in submitting all state-required reports (audit, UFARS, MARSS, STAR, annual report, etc.) before funds will be released under this award.
  - a. If an applicant for a federal CSP grant alleges that MDE violated a state or federal statute or regulation with respect to MDE's application decision, the applicant may request a hearing before MDE in accordance with 34 CFR Section 76.401. The hearing must be requested within thirty days of MDE's application decision.
  - b. If funded, the charter school will not merge with another charter school until five years after the school's federal CSP grant project concludes.

The application continues below.



## AUTHORIZER DECLARATION OF SUPPORT FORM

*(Name of authorizing organization)*, the approved authorizer of *(high-quality charter school)*, verifies the following *(initial below)*:

*Initial:*

This charter school is in good standing and is currently meeting expectations;

The accountability goals included in this grant application match the goals included in the charter contract;

If concerns arise about this charter school's status, compliance, and/or progress towards implementing the expansion/replication as described/planned, the authorizer will contact the MDE Charter Center immediately;

This grant application is aligned with the charter contract; and

This authorizer supports this charter school's request for federal funds to expand/replicate as described in this grant application.

Name of Authorizer Liaison:

Title:

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**COMPLETE THIS SECTION ONLY IF SUPPLEMENTAL AFFIDAVIT FOR EXPANSION NOT YET SUBMITTED**

**(proposed new grades/sites not yet approved by MDE)**

Approximate date of when the authorizer plans to submit the supplemental affidavit for the proposed expansion/replication: \_\_\_\_\_

Charter LEAs may or may not have already submitted an application to their authorizer to expand/replicate, and the authorizer may or may not have already submitted a supplemental affidavit to the Commissioner. The expansion/replication must be approved via the supplemental affidavit process prior to any students being served via the expanded grades/additional site.

NOTE: Per Minnesota Statutes, section 124E.06, Subdivision 5, the supplemental affidavit must be filed by October 1 to be eligible to expand in the next school year. **For a planned Fall 2017 implementation, the affidavit must have been filed no later than October 1, 2016. Applicants should carefully consider their ability to expend funds during a shortened time frame and note that a successful applicant must have an approved supplemental affidavit by the time the grant award is offered in order to execute a grant agreement.**

## CHARTER SCHOOL INFORMATION FORM

### Competitive – 859 - Federal – State Fiscal Year 2017

#### Charter Schools Program - Significant Expansion/Replication Grant Opportunity

Click on grey form fields to enter requested information.

NAME OF CHARTER SCHOOL:

NAME OF AUTHORIZER:

#### Name and Title of Primary School Contact

**Contact Information:** (Mailing address, phone number and email address)

#### Name and Title of Authorizer Liaison

**Contact Information** (Mailing address, phone number and email address)

**Grade Levels (Elementary and/or Secondary) School Currently Serves:** \_\_\_\_\_

**Grade Levels (Elementary and/or Secondary) School to be served by Expansion/Replication:**

**Number of K-12 Students School Currently Serves:**

**Number of Additional K-12 Students to be served by Expansion/Replication:**

**Proposed Date of Expansion/Replication (First Day of Operation):**

**Has the proposed expansion/replication been approved by the state?**

**If not, has a Supplemental Affidavit regarding the proposed expansion/replication been submitted to MDE?**

#### **Which Federal CSP Preference Priorities are addressed in this proposal?**

*Select all (one or more) that apply. Applications will be evaluated based on the priorities indicated below. Priorities not selected will not impact the score of that section, provided that at least one federal CSP priority is addressed.*

\_\_\_\_\_ Replicating High-Performing Models

\_\_\_\_\_ Improving Achievement and High School Graduation Rates

\_\_\_\_\_ Promoting Diversity

\_\_\_\_\_ Improving Productivity

#### **Which State Education Priorities are addressed in this proposal?**

*Select all (one or more) that apply. Proposals will be evaluated based on the priorities indicated*

below. Priorities not selected will not impact the rating of that section, provided that at least one state priority is addressed.

- \_\_\_\_\_ Reading Well by Third Grade
- \_\_\_\_\_ Raise the Bar – Close the Gap
- \_\_\_\_\_ Meeting High Standards Across Content Areas
- \_\_\_\_\_ High School Graduation, College and Career Ready
- \_\_\_\_\_ Support Teaching for Better Schools

## CHARTER SCHOOL BOARD MEMBER CONTACT INFORMATION

### Competitive – 859 - Federal – State Fiscal Year 2017 Charter Schools Program (CSP) - Significant Expansion/Replication Grant Opportunity

NAME OF AUTHORIZER

NAME OF CHARTER SCHOOL:

Provide information for all individuals serving on the charter school board.

| Name | Email Address | Type<br>(Teacher,<br>Parent,<br>Community) | Term (Start-<br>End Dates) | Date(s) of<br>Initial<br>Training* | Date(s) of<br>Most Recent<br>Annual<br>Training |
|------|---------------|--|----------------------------|------------------------------------|---|
|      |               |  |                            | RR:<br>EPP:<br>FM:                 |   |
|      |               |  |                            | RR:<br>EPP:<br>FM:                 |   |
|      |               |  |                            | RR:<br>EPP:<br>FM:                 |   |

| Name | Email Address | Type<br>(Teacher,<br>Parent,<br>Community) | Term (Start-<br>End Dates) | Date(s) of<br>Initial<br>Training* | Date(s) of<br>Most Recent<br>Annual<br>Training |
|------|---------------|--|----------------------------|------------------------------------|---|
|      |               |  |                            | RR:<br>EPP:<br>FM:                 |   |
|      |               |  |                            | RR:<br>EPP:<br>FM:                 |   |
|      |               |  |                            | RR:<br>EPP:<br>FM:                 |   |
|      |               |  |                            | RR:<br>EPP:<br>FM:                 |   |
|      |               |  |                            | RR:<br>EPP:<br>FM:                 |   |
|      |               |  |                            | RR:<br>EPP:<br>FM:                 |   |
|      |               |  |                            | RR:<br>EPP:<br>FM:                 |   |
|      |               |  |                            | RR:<br>EPP:                        |   |

| Name | Email Address | Type<br>(Teacher,<br>Parent,<br>Community) | Term (Start-<br>End Dates) | Date(s) of<br>Initial<br>Training* | Date(s) of<br>Most Recent<br>Annual<br>Training |
|------|---------------|--|----------------------------|------------------------------------|---|
|      |               |  |                            | FM:                                |   |
|      |               |  |                            | RR:<br>EPP:<br>FM:                 |   |

\* RR: Board's roles and responsibilities, EPP: Employment policies and practices, FM: Financial Management. NOTE: *Please be prepared to submit documentation to verify training dates and details if selected for funding.*

Provide information for all individuals (staff, consultants, etc.) directly and significantly involved in the development of the expanded/replicated charter school and/or federal CSP application.

| Name       | Phone Number       | Email Address |
|------------|--------------------|---------------|
| Enter Name | Enter Phone Number | Enter Email   |
| Enter Name | Enter Phone Number | Enter Email   |
| Enter Name | Enter Phone Number | Enter Email   |

# **WORK PLAN NARRATIVE AND FEDERAL PREFERENCE PRIORITIES**

**Competitive – 859 - Federal – State Fiscal Year 2017**

## **Charter Schools Program (CSP) – Significant Expansion/Replication Grant Opportunity**

Please use Arial 11-point font and double-space text when entering responses in Work Plan Narrative template below. Please do not exceed 41 total pages.

NAME OF CHARTER SCHOOL:

NAME OF AUTHORIZER:

### **PART 1: EXISTING CHARTER SCHOOL BACKGROUND**

*(Part 1 sections limit twelve pages total)*

**ACADEMIC ACIEVEMENT:**

**OPERATIONAL EFFECTIVENESS AND STABILITY:**

**COMPLIANCE:**

**STAKEHOLDER STATISFACTION:**

### **PART 2: EXPANDED/REPLICATED CHARTER SCHOOL**

**EXECUTIVE SUMMARY** (Limit one page)

**EDUCATIONAL PROGRAM** (Limit five pages)

**ACCOUNTABILITY GOALS AND OUTCOMES** (Limit four pages)

**Accountability Goal 1:**

**Accountability Goal 2:**

**Accountability Goal 3:**

**Accountability Goal 4:**

**Accountability Goal 5:**

**Accountability Goal 6:**

*Describe the school's plans to use assessment data to effect teaching and learning to improve student achievement.*

**FEDERAL CSP PREFERENCE PRIORITIES** (Limit five pages)

**STATE EDUCATION PRIORITIES** (Limit three pages)

**GOVERNANCE AND MANAGEMENT** (Limit four pages)

**PARENT AND COMMUNITY ENGAGEMENT** (Limit two pages)

**MARKETING AND OUTREACH** (Limit three pages including Enrollment Table)

**ENROLLMENT TABLE**

*Complete and include this table in your response to this section. Identify the number of student expected to attend the expanded/replicated school each year by grade level in the following table (add additional rows if it will take more than five years to reach full enrollment). Do not include prekindergarten or preschool children in this table.*

| <b>Year of Operation</b> | <b>K</b> | <b>1</b> | <b>2</b> | <b>3</b> | <b>4</b> | <b>5</b> | <b>6</b> | <b>7</b> | <b>8</b> | <b>9</b> | <b>10</b> | <b>11</b> | <b>12</b> | <b>Total</b> |
|--------------------------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|-----------|-----------|-----------|--------------|
| Year 1                   |          |          |          |          |          |          |          |          |          |          |           |           |           |              |
| Year 2                   |          |          |          |          |          |          |          |          |          |          |           |           |           |              |
| Year 3                   |          |          |          |          |          |          |          |          |          |          |           |           |           |              |
| Year 4                   |          |          |          |          |          |          |          |          |          |          |           |           |           |              |
| Year 5                   |          |          |          |          |          |          |          |          |          |          |           |           |           |              |

**AUTHORIZER** (Limit three pages)

**BUDGET**



*Please complete excel budget document including cost justifications. Expenditures related to food purchases beyond necessary meals if in approved travel status, gifts and entertainment are not allowable.*

**WAIVER REQUESTS (Optional, no page limit):**

INDIRECT COST RATE AGREEMENT  
STATE EDUCATION AGENCY

**Organization**

Minnesota Department of Education  
1500 West Highway 36  
Roseville, MN 55113-4266

**Date:** JUL 12 2016

**Agreement No:** [REDACTED]



The approved indirect cost rates herein are for use on grants, contracts, and other agreements with the Federal Government. The rates are subject to the conditions included in Section II of this Agreement and regulations issued by the Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards under 2 CFR 200.

**Section I - Rates and Bases**

| <u>Type</u> | <u>From</u> | <u>To</u>  | <u>Rate</u> | <u>Base</u> | <u>Applicable To</u> |
|-------------|-------------|------------|-------------|-------------|----------------------|
| Fixed       | 07/01/2016  | 06/30/2017 | [REDACTED]  | MTDC        | APwR                 |

Distribution Base:

MTDC Modified Total Direct Cost - Total direct costs excluding equipment, capital expenditures, participant support costs, pass-through funds and the portion of each subaward (subcontract or subgrant) above \$25,000 (each award; each year).

Applicable To:

APwR The rates herein are applicable to All Programs including those that require a restricted rate per 34 CFR 75.563 and 34 CFR 76.563.

Treatment of Fringe Benefits:

Fringe benefits applicable to direct salaries and wages are treated as direct costs. Pursuant to 2 CFR 200.431, (b), (3), Paragraph (i), unused leave costs for all employees are allowable in the year of payment. The treatment of unused leave costs should be allocated as an indirect cost except for those employee salaries designated as a direct cost for the restricted rate calculation.

Capitalization Policy: Items of equipment are capitalized and depreciated if the initial acquisition cost is equal to or greater than \$5,000. [REDACTED]

## **Section II - Particulars**

Limitations: Application of the rates contained in this Agreement is subject to all statutory or administrative limitations on the use of funds, and payments of costs hereunder are subject to the availability of appropriations applicable to a given grant or contract. Acceptance of the rates agreed to herein is predicated on the following conditions: (A) that no costs other than those incurred by the Organization were included in the indirect cost pools as finally accepted, and that such costs are legal obligations of the Organization and allowable under the governing cost principles; (B) the same costs that have been treated as indirect costs are not claimed as direct costs; (C) that similar types of information which are provided by the Organization, and which were used as a basis for acceptance of rates agreed to herein, are not subsequently found to be materially incomplete or inaccurate; and (D) that similar types of costs have been accorded consistent accounting treatment.

Accounting Changes: The rates contained in this agreement are based on the organizational structure and the accounting systems in effect at the time the proposal was submitted. Changes in organizational structure or changes in the method of accounting for costs which affect the amount of reimbursement resulting from use of the rates in this agreement, require the prior approval of the responsible negotiation agency. Failure to obtain such approval may result in subsequent audit disallowance.

Provisional/Final/Predetermined Rates: A proposal to establish a final rate must be submitted. The awarding office should be notified if the final rate is different from the provisional rate so that appropriate adjustments to billings and charges may be made. Predetermined rates are not subject to adjustment.

Fixed Rate: The negotiated fixed rate is based on an estimate of the costs that will be incurred during the period to which the rate applies. When the actual costs for such period have been determined, an adjustment will be made to a subsequent rate calculation to compensate for the difference between the costs used to establish the fixed rate and the actual costs.

Notification to Other Federal Agencies: Copies of this document may be provided to other Federal agencies as a means of notifying them of the agreement contained herein.

Audit: All costs (direct and indirect, federal and non-federal) are subject to audit. Adjustments to amounts resulting from audit of the cost allocation plan or indirect cost rate proposal upon which the negotiation of this agreement was based may be compensated for in a subsequent negotiation.

Reimbursement Ceilings/Limitations on Rates: Awards that include ceiling provisions and statutory/regulatory requirements on indirect cost rates or reimbursement amounts are subject to the stipulations in the grant or contract agreements. If a ceiling is higher than the negotiated rate in Section I of this agreement, the negotiated rate will be used to determine the maximum allowable indirect cost.

**Section III - Special Remarks**

Alternative Reimbursement Methods: If any federal programs are reimbursing indirect costs by a methodology other than the approved rates in this agreement, such costs should be credited to the programs and the approved rates should be used to identify the maximum amount of indirect costs allocable.

Submission of Proposals: New indirect cost proposals are necessary to obtain approved indirect cost rates for future fiscal years. **The next indirect cost rate proposal is due six months prior to the expiration dates of the rates in this agreement.**

**Section IV - Approvals**

For the State Education Agency:

Minnesota Department of Education  
1500 West Highway 36  
Roseville, MN 55113-4266

For the Federal Government:

U.S. Department of Education  
OCFO / FIO / ICG  
550 12th Street, SW  
Washington, DC 20202-4450

[Redacted Signature]

Name

[Redacted Signature]

Date

7/18/16

[Redacted Signature]

Frances Outland

Name

Director, Indirect Cost Group

Title

JUL 12 2016

Date

Negotiator: Andre Hylton

Telephone Number [Redacted]



## Budget Narrative File(s)

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\* **Mandatory Budget Narrative Filename:**

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To add more Budget Narrative attachments, please use the attachment buttons below.

United States Department of Education

Expanding Opportunities through Quality Charter Schools Program (CSP) – Grants to State Entities

Budget Narrative

May 2017

1. [REDACTED]

Positions are budgeted by job classification, with [REDACTED] projected for annual cost of living and step increases.

- **1 FTE Federal Charter School Grant Manager (Education Program Specialist).** Existing MDE employee. The Federal Charter School Grant Manager oversees the CSP award including reviewing expenditure report reimbursement submissions, organizing the competitive sub-grant competition, providing technical assistance to sub-grant recipients, approving budget modification requests, conducting monitoring visits, and engaging the Minnesota charter school community. 50% Technical Assistance (TA); 50% Administrative.

- **.35 FTE Grant Specialist Coordinator.** Existing MDE employee. The Grant Specialist Coordinator in the Agency Finance division will provide sub-grant support to the Federal Charter School Grant Manager to ensure funds sub-granted are appropriately dispersed and managed. 100% Administrative.
- **.20 FTE Data Analyst 1.** Existing MDE employee. This Data Analyst in the Data Analytics division will provide ongoing, day-to-day data support for the CSP project and sub-grantees. 100% TA.
- **.07 FTE Federal Program Accountant.** Existing MDE employee. The Federal Program Accountant in the Agency Finance division will provide fiscal support to the Federal Charter School Grant Manager in order to ensure completion of accurate financial reporting, federal fund draws, compliance with federal and state financial management policies, etc. 100% Administrative.
- **.05 FTE Data Analyst 2.** Existing MDE employee. This Data Analyst in the Data Analytics division will provide information regarding performance metrics and annual reporting. 100% Administrative.
- **.03 FTE Grant Specialist Supervisor.** Existing MDE employee. The Grant Specialist Supervisor in the Agency Finance division will, in coordination with the Federal Charter School Grant Manager, develop, review, and publish the sub-grant application and set up and run the electronic review process, including screening applications and providing technical assistance to reviewers. 100% Administrative.



| Personnel                                     | Base Salary | Year One |     | Year Two |     | Year Three |     | Year Four |     | Year Five |     |
|---|-------------|----------|-----|----------|-----|------------|-----|-----------|-----|-----------|-----|
|   |             | Wages    | FTE | Wages    | FTE | Wages      | FTE | Wages     | FTE | Wages     | FTE |
| Federal<br>Charter<br>School Grant<br>Manager |             |          |     |          |     |            |     |           |     |           |     |
| Grant<br>Specialist<br>Coordinator            |             |          |     |          |     |            |     |           |     |           |     |
| Data Analyst<br>1                             |             |          |     |          |     |            |     |           |     |           |     |
| Federal<br>Program<br>Accountant              |             |          |     |          |     |            |     |           |     |           |     |

|                                    |  |
|------------------------------------|--|
| <b>Data Analyst</b>                |  |
| <b>2</b>                           |  |
| <b>Grant Specialist Supervisor</b> |  |
| <b>TOTAL</b>                       |  |

**2. Fringe** [REDACTED]

Fringe benefits are determined based on the State position classification for all grant funded personnel listed in the chart above. A 3% annual increase is included. Fringe benefits include the employer’s portion of health, dental, and life insurance, social security and medicare tax, and retirement contributions. TA and Administrative designations are the same as under Personnel.

| <b>Personnel</b>                            | <b>Year One</b> | <b>Year Two</b> | <b>Year Three</b> | <b>Year Four</b> | <b>Year Five</b> |
|---|-----------------|-----------------|-------------------|------------------|------------------|
| <b>Federal Charter School Grant Manager</b> |                 |                 |                   |                  |                  |
| <b>Grant Specialist Coordinator</b>         |                 |                 |                   |                  |                  |

|  |  |
|--|--|
| <b>Data Analyst 1</b>                  |  |
| <b>Federal Program<br/>Accountant</b>  |  |
| <b>Data Analyst 2</b>                  |  |
| <b>Grant Specialist<br/>Supervisor</b> |  |
| <b>TOTAL</b>                           |  |

**3. [REDACTED]**

Costs are based on maximum reimbursement rates in Minnesota’s Commissioner’s Plan: federal mileage rate of .54/mile, \$36/day for meals, and lodging costs that are reasonable and consistent with the facilities available. Out of state trips also include airfare, airport transportation, and event registration, as applicable.

- In-state travel is required to provide in-person technical assistance (including monitoring) to sub-grantees and engage with the Minnesota charter schools and authorizer communities. Most schools are located in the metro area. The schools that are located in greater MN will require a hotel stay (estimated at \$100/night) and meal reimbursement in addition to mileage. Estimate the Grant Manager will visit each greater MN school hub (Grand Rapids – 374 miles/\$202, Duluth – 300 miles/\$162, and Rochester – 172 miles/\$93) twice during the grant period (in year one and in year four) for \$973/year and \$1,946 total. 100% TA.

- Out-of-state travel is required for conferences and meetings that directly relate to and impact CSP project work in order to provide relevant sub-grantee technical assistance. 100% TA.
  - Meetings=\$1,008/year
    - Annual CSP Project Director’s Meeting (Washington, D.C., 2 days meeting, 1 day travel/2 nights, 1 person). Air: \$400. Hotel: \$200/night=\$400. Food: \$36/day=\$108. Ground Transportation: \$100.
  - Conferences=\$7,448/year
    - Annual National Charter Schools Conference (Locations TBD, 3 days conference, 1 day travel/3 nights, 2 people). Air: \$400. Hotel: \$200/night=\$600. Food: \$36/day=\$144. Ground Transportation: \$100. Registration: \$500. Total: \$3,488.
    - Annual National Association of Charter School Authorizers Conference (locations TBD, 4 days conference, 1 day travel/4 nights, 2 people). Air: \$400. Hotel: \$200/night=\$800. Food: \$36/day=\$180. Ground Transportation: \$100. Registration: \$500. Total: \$3,960.

**Year One= \$9,429**

*In-state= \$973*

*Out-of-state= \$8,456*

**Year Two= \$8,456**

*In-state= 0*

*Out-of-state= \$8,456*

**Year Three= \$8,456**

*In-state= 0*

*Out-of-state= \$8,456*

**Year Four= \$9,429**

*In-state= \$973*

*Out-of-state= \$8,456*

**Year Five= \$8,456**

*In-state= 0*

*Out-of-state= \$8,456*

**4. Equipment=\$0**

N/A

**5. Supplies=\$6,450 (\$6,450 TA)**

Materials for quarterly webinar technical assistance workshops for sub-grantees and/or eligible applicants, monthly e-learning boot camp trainings for sub-grantees, annual Authorizer Training at MDE, and annual Charter School Training at MDE open to all charter schools and required for new schools and new school directors. Printing @ \$100/day for annual Authorizer Training (1 day/year) and annual Charter

School Training (2.5 days/year) for \$1,750 in total printing costs. Captivate software full license (\$1,100) and monthly subscription for two staff members for the grant period (\$3,600). 100% TA.

**Year One= \$2,170**

**Year Two= \$1,070**

**Year Three=\$1,070**

**Year Four=\$1,070**

**Year Five=\$1,070**

**6. Contractual=\$3,414,880 (\$3,026,500 TA; \$388,380 Administrative)**

MDE follows all federal and state procedures for procurement.

- **Peer Reviewer Stipends** - 3 reviewers per sub-grant competition. Average of \$300 stipend/reviewer (\$50/application). 3 subgrant competitions/year. Budgeted at \$2,700/year. 100% Administrative.
- **Authorizer Training Stipends** – Up to 18 authorizers will receive an annual training stipend of \$1,500 to attend relevant development opportunities, as approved by MDE Charter Center staff. 100% TA.
- **Closed Captioning**– Webinar trainings will be recorded and then closed captioned in order to make them accessible to all. \$350/video. Budgeted at \$6,300/year. 100% TA.

- **Project Evaluator** - An independent external evaluator is critical to continuously improving the project and the corresponding results in order to provide the best outcomes for students. Budgeted at \$██████/year for 4 years. 100% Administrative.
- **MAPES Authorizer Evaluator** – An independent external consultant will complete a review of up to eighteen authorizers as a part of the MAPES process at a cost of \$20,000/authorizer. 100% TA.
- **Pilot Credential Program Sub-grants.** Funds to the Minnesota Board of School Administrators to assess, develop, and pilot a stakeholder-driven educational model for credentialing of charter school leaders (\$1,250,000) and funds for a competitive grant that develops training and leverages web-based and video platforms for delivery (\$1,250,000). 100% TA.
- **Training Travel Cost Reimbursement for Greater MN New Charter Schools/Directors** – Funds for representatives from new charter schools and new charter school directors in greater Minnesota to attend the annual Charter School Training at MDE. Estimated at 6 participants/year at an average of 282 miles roundtrip, \$100/night/person hotel, and \$36/day meals for \$496/person and \$2,976/year. 100% Administrative.

**Year One= \$438,976**

**Year Two= \$578,976**

**Year Three= \$858,976**

**Year Four= \$858,976**

**Year Five= \$678,976**

**7. Construction= \$0**

N/A

**8. Other=\$41,560,188 (\$78,522 Administrative; \$41,481,666 Sub-grants)**

- **Rent.** \$8,700 per grant-funded FTE, includes projected annual increase of \$200 per FTE, per year. 100% Administrative.
- **High-quality Charter School, Expansion, and Replication Sub-grants.** Estimate 10-12 sub-grants/year. Average grant size of \$600,000 (Range of \$550,000-\$650,000 based on school enrollment). Budgeted at \$6,600,000/year.
- **Waiver Sub-grants.** Funds to provide a final implementation project period for 28 existing 2012 CSP award sub-recipients. The total amount requested for the waiver is \$8,181,666 (\$4,931,666 FFY18; \$2,650,000 FFY19; and \$600,000 FFY20).

**Year One=** [REDACTED]

**Year Two=** [REDACTED]

**Year Three=** [REDACTED]

**Year Four= \$** [REDACTED]

**Year Five= \$** [REDACTED] **6**

**9. Total Direct Costs=** [REDACTED]

**10. Indirect Costs=** [REDACTED]

Calculated on applicable total direct costs at federally approved rate of 19.1%. Approved indirect cost rate agreement is below. 100% Administrative.



**Year One= \$** [REDACTED]

**Year Two= \$** [REDACTED]

**Year Three= \$** [REDACTED]

**Year Four= \$** [REDACTED]

**Year Five=** [REDACTED]

**11. Training Stipends= \$0**

N/A

**12. Total Costs= \$** [REDACTED] **TA (7%); \$** [REDACTED] **Administrative (3%); \$** [REDACTED] **Sub-grants (90%)]**

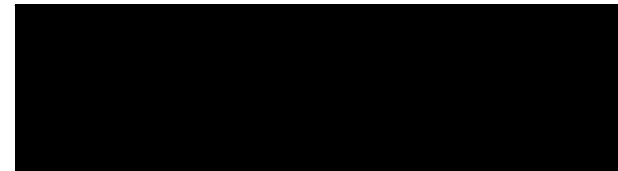
INDIRECT COST RATE AGREEMENT  
STATE EDUCATION AGENCY

**Organization**

Minnesota Department of Education  
1500 West Highway 36  
Roseville, MN 55113-4266

**Date:** JUL 12 2016

**Agreement No:** [REDACTED]



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**Section I - Rates and Bases**

| <u>Type</u> | <u>From</u> | <u>To</u>  | <u>Rate</u> | <u>Base</u> | <u>Applicable To</u> |
|-------------|-------------|------------|-------------|-------------|----------------------|
| Fixed       | 07/01/2016  | 06/30/2017 | [REDACTED]  | MTDC        | APwR                 |

Distribution Base:

MTDC Modified Total Direct Cost - Total direct costs excluding equipment, capital expenditures, participant support costs, pass-through funds and the portion of each subaward (subcontract or subgrant) above \$ [REDACTED] (each award; each year).

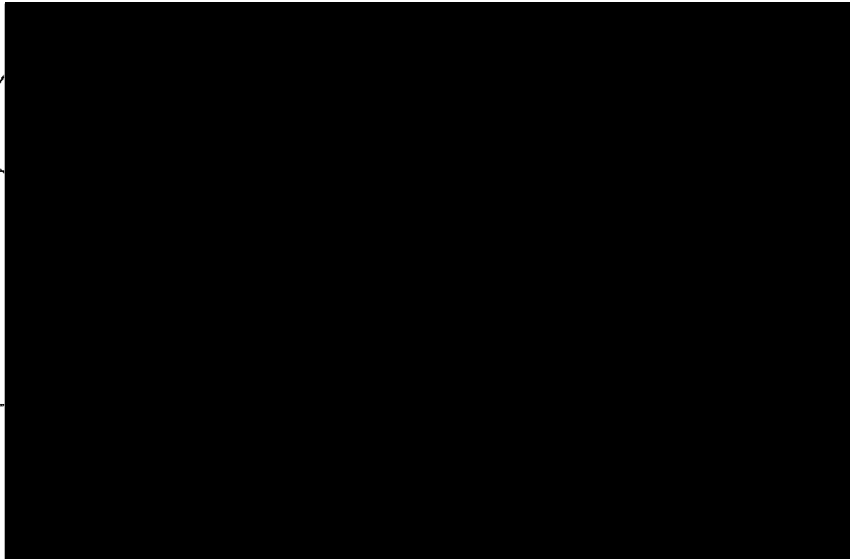
Applicable To:

APwR The rates herein are applicable to All Programs including those that require a restricted rate per 34 CFR 75.563 and 34 CFR 76.563.

**Section IV - Approvals**

For the State Education Agency:

Minnesota Department of Education  
1500 West Highway 36  
Roseville, MN 55113-4266



For the Federal Government:

U.S. Department of Education  
OCFO / FIO / ICG  
550 12th Street, SW  
Washington, DC 20202-4450



Frances Outland

Name

Director, Indirect Cost Group

Title

JUL 12 2016

Date

Negotiator: Andre Hylton

Telephone Number: 