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| **Governance and Management** |
| The Board of Trustees (“Board”) has been established. | List of current members of the education corporation’s Board and officers including contact information. |  |  |
| By-laws have been ratified. | Copy of ratified by-laws or a board resolution approving by-laws. |  |  |
| Management contract, if applicable, has been executed. | Copy of management contract signed by representatives of management entity and Board. |  |  |
| A permanent head of the school has been named. | Written notice that the head of school has been named within 5 days of the hire date. |  |  |
| **Staffing** |
| The number of teachers is adequate and their assignments match the staffing plan. | Complete staff roster including teaching assignments by grade level or specialty for all teachers. |  |  |
| Teachers are certified or no more than the maximum number of non-certified teachers have been hired ((lesser of 5 or 30% of teachers) + 5 teachers +  5 teachers of math, science, computer science, technology or career and technical education); and non-certified teachers meet the qualifications of Education Law § 2854(3)(a-1). | Copies of teacher certifications, or appropriate proof of compliance with statutory exemptions. |  |  |
| Teachers in core academic areas (as defined by No Child Left Behind Act, (“NCLB”)) are highly qualified in accordance with NCLB. | Proof of certification or academic credentials (transcripts), relevant tests and subject matter competency for each teacher. |  |  |
| Fingerprint supported criminal background checks have been completed and all employees have SED-OSPRA clearance for employment, **AND** all employees have been identified to SED as working for the new charter school;**OR** Fingerprints for each employee have been submitted to SED and all conditions of Emergency Conditional or Conditional Clearance have been met. | Copies of Fingerprint Clearance forms from OSPRA for each employee identifying the new charter school as the employee’s current employer;**OR**Copies of fingerprint cards/LIVESCAN receipts and OSPRA forms/TEACH printouts showing submission to SED, and proof of Emergency Conditional or Conditional Appointment for each employee, including a signed statement regarding criminal record,**AND** an approved resolution from the education corporation’s Board of Trustees (moved by the Board Chair) to extend such clearance to the employee(s); **AND**a Board approved supervision policy for such employee(s). |  |  |
| **Curriculum and Instruction** |
| Needed instructional materials and supplies have been distributed to classrooms at every grade level. | Classrooms should be adequately prepared for teaching and learning, including the appropriate distribution of curricular materials and supplies at time of Prior Action Visit. |  |  |

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| Provisions have been made for a child find system and serving students with special needs and disabilities including those who may receive accommodations under Section 504 of the Rehabilitation Act of 1973. | Written documentation that the school has contacted the school district Committee on Special Education seeking records of each incoming student known to have a disability.  |  |  |
| Copy of Section 504 policy to include: * identification, evaluation and reevaluation procedures;
* placement procedures;
* formation of a 504 team;
* a system of procedural safeguards for parents including notice, records review and hearing in compliance with federal regulations.
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| **Students and Parents** |
| The school has developed required policies relating to student discipline (including special education students), complaints/grievances, FERPA, FOIL, Open Meetings Law, and has made appropriate policies available to students and their families in the Student and Family Handbook or similar publication. A school calendar and class schedules exist and provisions have been made for them to be available to every student and every family. | Copy of Student and Family Handbook (or similar publication) containing the specified policies including FERPA annual notification of rights, and notice of intent to distribute directory information, FOIL notice and the school calendar and schedules; **OR** standalone policies.Written assurance that Student and Family Handbooks (containing such policies) have been distributed. FERPA:* Copy of FERPA procedures for storage/handling of student files in school;
* FERPA log on each file; or password protected student files if electronic with electronic access tracking;
* FERPA list of persons with access;
* List of records maintained (file schematic); and
* confidentiality policy for school employees.

FOIL:* Posted notice;
* “Regulations”;
* List of records;
* Updated list of employees, positions, work locations and salaries; and
* Website postings/links
 |  |  |
| Student enrollment procedures have been documented. | Summary of school enrollment statistics including number of currently enrolled students, and number of students on the waiting list as of date of visit. |  |  |
| A preliminary count of students with special needs is available. | A summary roster of students with IEPs and any information related to their settings or related services that are known at the time of the pre-opening visit. |  |  |
| Student records have been received or requested, and are in locked storage. | Written assurance from the school that records have been requested or received, and are in locked storage. If records are electronic, the system is password protected. |  |  |
| Student health and immunization records have been separated from academic records and are in locked storage in the office of the school nurse. [If the nurse works for an entity separate from the school, the school must maintain its own copies of records.] | Copies of incoming student health records or written assurance from the school that they have been requested. Records made available to the school nurse and in locked storage [and, if applicable, copies retained by the school]. |  |  |
| Student health policies are in place. | Copies of school health policies including those for medication administration, and assurance that they have been distributed to parents. |  |  |
| **Operations** |
| The school has made arrangements to be staffed with a school nurse, and has and procedures for the administration of prescription and non-prescription medications to students, and for provision of required health services. | Written documentation of the school’s relationship with a registered nurse and/or physician. |  |  |
| Copies of procedures for medication administration and for the provision of required health services. |  |  |
| Each student has been properly immunized or exempted. | Written assurance that:1) each student has proper immunization records on file, and 2) students who have not been immunized or exempted will be barred from school after 14 days. |  |  |
| Appropriate provisions have been made for supplemental transportation of students if any are to be provided. | Copy of agreement with provider of supplemental transportation services. |  |  |
| Copies of fingerprint supported background checks for employees of the supplemental transportation services provider. |  |  |
| There are written plans for such life safety procedures as fire drills and emergency evacuation including school safety plans in accordance with Project SAVE. | Copy of draft SAVE Plan and proof that the SAVE Plan has been submitted to SED for approval. |  |  |
| Assurance that school will meet with required groups (parents, teachers) and submit final SAVE Plan, and revise as directed by SED. |  |  |
| Arrangements have been made for food service. | Copy of agreement with food service provider, if applicable, or written assurance that arrangements have been made with the school district.Copies of fingerprint supported background checks for employees of the supplemental transportation services provider. |  |  |
| **Facilities and fixtures** |
| Available space (including classrooms, restrooms, and special purpose space) meets the requirements of the program and the number of students enrolled. | Inspection at time of Prior Action Visit |  |  |
| Space is accessible to all students (including handicapped students), clean, and well-lit. If building is not required to be handicap accessible, procedures for reasonable accommodation of such persons are in place. | Inspection at time of Prior Action VisitProcedures for reasonable accommodation of handicapped persons. |  |  |
| A certificate of occupancy (or equivalent) is on file, as well as any other appropriate certificates of inspection or permits. | Copy of certificate of occupancy and other appropriate certificates of inspection or permits, but only if the school is located in private space. |  |  |
| Certificates of insurance are on file, meeting at least the minimum levels required by the NY Charter Schools Act and including a provision to provide notice to the Institute of any material change, non-renewal or termination of the policy. | Copy of certificate of insurance or insurance policy or binder. |  |  |
| Space is safe and secure; entrance and egress from the school’s space is adequately controlled. | Inspection at time of Prior Action Visit |  |  |
| Sign for the school is evident. | Inspection at time of Prior Action Visit |  |  |
| Copies of school fire safety/evacuation plans/maps are posted in each classroom and room where students may be present. | Inspection at time of Prior Action Visit |  |  |
| Fire extinguishers have been recently inspected. | Inspection at time of Prior Action Visit |  |  |
| School has adequate food/beverage storage, heaters and coolers in kitchen/cafeteria area. | Inspection at time of Prior Action Visit |  |  |
| **Finance** |
| There is evidence of an accounting system with internal controls and fiscal policies. | Copy of the school’s fiscal policies and procedures. |  |  |
| Evidence of employment of or contract with accountant, bookkeeper or other person or entity to handle such duties. |  |  |
| A payroll system has been established, and, if offered, properly allows employees to consent to 12 month payroll. | Contract with payroll company or evidence of employment of or contract with persons to handle payroll; and copy of deduction policy. |  |  |
| **Compliance** |
| There is a staff person who is assigned to oversee and serve as the primary contact with regard to compliance. | Name of individual and contact information must be submitted to the Institute. |  |  |

*If the Initial Statement Process is not complete, the Institute will check for the following:*

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| Initial statement process | Report by independent auditor that systems are established and working for the school to take in revenue and expend on programs. |  |  |