

PART I: PRE-VISIT DOCUMENTS

Please use the following checklist to track documents/deliverables **due to the Institute via Epicenter by July 15, 2021**. A detailed description of each document/deliverable follows.

Item Number	Document/Deliverable	School Checklist: Date Completed
1. STAFFING		
1a	Staff Directory	
1b	School Leader	
1c	Teacher Certification & Experience Roster	
1d	Teacher Certification Records	
1e	Fingerprint Clearance Records	
1f	Fingerprint Policy	
2. GOVERNANCE*		
2a*	Management Contract	
2b*	By-laws	
3. STUDENTS WITH DISABILITIES		
3a	Response to Intervention (“RTI”) Policy	
3b*	504 Policy	
3c	Serving Students with Disabilities	
4. SCHOOL OPERATIONS		
4a	Handbooks & Other Policies	
4b	School Calendar & Class Schedules	
4c	Enrollment	
4d	School Nurse	
4e	Transportation	
4f	Food Service	
4g	Safety	
4h	Mandated Reporting	
5. FINANCE**		
5a**	Payroll	
5b**	Initial Statement Process	
6. WRITTEN ASSURANCES SIGNATURE FORM		
Submit a completed written assurances signature form with a valid digital signature		

**These requests do not apply to multi-school education corporations.*

***Multi-school education corporations are not required to submit these documents and can provide a single assurance via the Written Assurances Signature Form regarding these requests.*

PRE-VISIT DOCUMENTS

Please read the following descriptions in their entirety and contact the Institute with any questions or concerns. Note that all pre-visit documents are **due via Epicenter by July 15, 2020**.

1. STAFFING

a. Staff Directory

Provide a complete staff directory aligned with the staffing plan in the charter application. For teachers, include grades and subjects taught. If there is more than one teacher in a classroom, please note who is the lead or head teacher. The directory should also list all non-instructional staff members and independent contractors including administrators, special education service providers and cafeteria, custodial and security personnel.

What to Submit:

Microsoft Word® or Excel® file or Adobe® Acrobat file named: **1a – Staff Directory**

b. School Leader

Please provide the name of the school leader and his/her official title, start date, email address, and phone number. Note that schools must also provide also written notice to the institute within five days of the school leader's hire date.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **1b – School Leader**

c. Teacher Certification & Experience Roster

Fill out the Institute *Teacher Certification & Experience Roster* template (appended at the end of this document) detailing each teacher's certification, teaching area, and experience. If the school has more than one teacher in a classroom, only include the lead teacher.

What to Submit:

Completed *Teacher Certification & Experience Roster* as a Microsoft Word® or Excel® file or Adobe® Acrobat file named: **1c – Teacher Certification & Experience Roster**

d. Teacher Certification Records

Lead teachers must either be New York State certified or meet the requirements outlined in Education Law § 2854(3)(a-1), which stipulates that a charter school may employ *the lesser of* five or 30% non-certified teachers, plus an additional five teachers, plus an additional five teachers of math, science, computer science, technology, or career/technical education (maximum of 15).

Non-certified teachers must meet at least one of the following criteria:

- Have at least three years of classroom teaching experience at the elementary or secondary level;
- Be a tenured or tenured-track college professor;
- Have two years' satisfactory experience through Teach For America; or,
- Have exceptional business, professional, artistic, athletic, or military experience.

In order for the Institute to determine teacher qualifications, all schools must provide the following for each lead teacher identified in the teacher roster:

- For certified teachers, scanned copies of TEACH certification records or New York State Education Department ("NYSED") teaching certificates; or,
- For non-certified teachers, appropriate proof of compliance with the requirements of the criteria listed above (e.g., a resume showing teaching or TFA experience).

NOTE: For information security purposes, please be sure to redact all parts of teachers' social security numbers and dates of birth prior to submission.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **1d – Teacher Certification Records**

e. Fingerprint Clearance Records.

All school employees (and in some cases non-employees) including, but not limited to, teachers, administrative staff members, and non-instructional staff members (e.g., custodians, food service workers, security personnel, transportation providers, etc.) must have a criminal history background check conducted by the NYSED Office of School Personnel Review and Accountability ("OSPRA"). The Institute cannot accept third party background checks. Please see NYSED's guidance at www.nysed.gov/educator-integrity/who-must-be-fingerprinted-charts.

In order for NYSED to conduct the background check, the school must send employees to a third party vendor (MorphoTrust/IDEMIA) for fingerprinting with the results sent to NYSED. This requires the school to register with TEACH through OSPRA in advance. Contact information for OSPRA is available at www.nysed.gov/educator-integrity/contact-us. All schools must provide the Institute scanned copies of the fingerprint-supported background check certificates provided by NYSED for your school or printouts from the TEACH System for each employee or other person listed on the Staff Directory.

In the case of a person who has been hand scanned but is not yet cleared for employment by NYSED, the school must provide the Institute with documentary evidence that the school has followed the statutory procedures for an emergency conditional appointment, which includes ALL of the following documentation:

- Proof of fingerprinting or prior NYSED or NYCDOE clearance;
- Proof of Emergency Conditional or Conditional Appointment including a signed statement regarding criminal record;
- An approved resolution from the education corporation board of trustees to extend such clearance to the employee(s), and if more than 20 business days has elapsed, an approved extension; AND,
- A supervision policy for such employee(s) approved by the board of trustees.

NOTE: For security purposes, please be sure to redact all parts of employees' social security numbers and dates of birth prior to submission.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **1e – Fingerprint Clearance Records**

f. Fingerprint Policy

Provide a copy of the school's fingerprint policy that covers all cafeteria, maintenance, and transportation personnel regardless of whether they are employed by the education corporation. The policy should implement a fingerprint/MorphoTrust - IDEMIA identification consistent with NYSED regulations and the charter agreement, which requires that at least two staff members verify the clearance of each new employee/contractor hired by the education corporation prior to employment.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **1f – Fingerprint Policy**

2. GOVERNANCE (Not Applicable to Multi-School Education Corporations)

a. Management Contract (Not Applicable to Multi-School Education Corporations)

Provide a copy of the management contract, if applicable, signed by representatives of the management entity and board of trustees.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **2a – Management Contract**

b. By-laws (Not Applicable to Multi-School Education Corporations)

Provide a copy of the ratified by-laws or a board resolution approving the by-laws on file (if the board has not amended the by-laws from the charter application). If the board has amended the original by-laws, provide the prior ratified version plus the new version and the resolution or minutes approving the amendment.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **2b – By-laws**

3. STUDENTS WITH DISABILITIES

a. Response to Intervention (“RTI”) Policy

Provide a copy of the RTI or other policy or process, if applicable, to ultimately refer students to the district Committee on Special Education (“CSE”) for evaluation.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **3a – RTI Policy**

b. 504 Policy (Not Applicable to Multi-School Education Corporations)

Provide a copy of the 504 Policy that includes:

- Identification, evaluation, and reevaluation procedures;
- Placement procedures;
- Formation of a 504 team;
- Designation of a responsible employee to coordinate 504 efforts; and,
- A system of procedural safeguards for parents including notice, records review, hearing, appeal, and prompt and equitable complaint resolution in compliance with federal regulations (34 C.F.R. § 104 *et seq.*).

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **3b – 504 Policy**

c. Serving Students with Disabilities

Provide a preliminary count of students with disabilities and proof that the school is ready to serve such students including:

- A roster of students with disabilities and any information related to their settings and any known related services; and,
- Written documentation that the school has contacted the district CSE seeking records of each incoming student known to have a disability.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **3c – Serving Students with Disabilities**

4. SCHOOL OPERATIONS

a. Handbooks and Other Policies

Provide handbooks or other documents that include policies relating to:

- Discipline;
- Complaints;
- The Family Educational Rights and Privacy Act (“FERPA”);
- NY Freedom of Information Law (“FOIL”); and,
- NY Open Meetings Law.

Guidance on each topic is available on the Institute’s website at:

www.newyorkcharters.org/compliance/.

What to Submit:

Microsoft Word® file(s) or Adobe® Acrobat file(s) named: **4a – Handbooks & Other Policies**

b. School Calendar and Class Schedules

Provide a copy of the school calendar and current class schedules.

What to Submit:

Microsoft Word® and/or Excel® file(s) or Adobe® Acrobat file(s) named:
4b – School Calendar & Class Schedules

c. Enrollment

Provide a current summary of school enrollment statistics including the number of currently enrolled students and number of students on the waiting list.

What to Submit:

Microsoft Word® or Excel® file(s) or Adobe® Acrobat file(s) named: **4c – Enrollment**

d. School Nurse

- Provide documentation of the school’s relationship with a registered nurse (“RN”), a licensed practical nurse (“LPN”) supervised by a RN, and/or a physician. This may be documentation from the district or separate employment agreement.
- Provide a copy of the school’s health policy which includes the procedures for storage and administration of prescription and non-prescription medications to students, and for the provision of required health services. The policy should also address the

accessibility, storage, and maintenance of student health records where are to be maintained separately from the student education record.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **4d – School Nurse**

e. Transportation

- Provide evidence that appropriate provisions have been made for transportation of students, if any is to be provided.
- If applicable, provide a copy of the school’s agreement with provider of supplemental transportation services. Copies of fingerprint/hand scan supported background checks for employees of the supplemental transportation services provider should be included with 1e- Fingerprint Clearance Records.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **4e – Transportation**

f. Food Service

- Provide evidence that appropriate provisions have been made for food service in the form of a copy of the school’s agreement with food service provider, if applicable.
- Provide copies of fingerprint/scan supported background checks for employees of the food service provider, if applicable, with 1e – Fingerprint Clearance Records.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **4f – Food Service**

g. Safety

Provide evidence that written plans are in place for:

- Fire drills;
- Lockdown drills; and,
- Emergency evacuation including safety plans in accordance with Project SAVE including a copy of the school’s draft SAVE plan.

What to Submit:

Microsoft Word® file(s) or Adobe® Acrobat file(s) named: **4g – Safety**

h. Mandated Reporting

Provide evidence that the school has developed required policies related to Mandated Reporter Child Abuse policies.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **4h – Mandated Reporting**

5. FINANCE

a. Payroll

Provide evidence that the school has established a payroll system and, if offered, properly allows employees to consent to 12 month payroll. Note that schools may submit one copy of the contract if it covers all schools. Also, the school may submit one copy of the deduction policy, and if it was covered by the Initial Statement or related assurance, a copy is not required.

Provide a copy of a contract with a payroll company or documentation of employment of or contract with persons to handle payroll.

Note: Multi-school education corporations are not required to submit these materials and can provide written assurance via the Written Assurances Signature Form.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **5a – Payroll**

b. Initial Statement Process

Provide confirmation that the Initial Statement process in the Charter Agreement is complete including all follow-up steps. If not complete, provide a report by the independent accountant of the status of the process including the status of the independent accountant's report including any required follow-up and the time frame therefor in accordance with the Charter Agreement.

If the school is an additional school of an education corporation already operating one or more schools, the education corporation's treasurer, or an employee specifically authorized by the board, may certify that substantially similar financial controls to the ones in the other schools of the education corporation have been instituted for the school.

Note: Multi-school education corporations are not required to submit these materials and can provide written assurance via the Written Assurances Signature Form.

What to Submit:

Submit a Microsoft Word® file or Adobe® Acrobat file named: **5b – Initial Statement Process**

WRITTEN ASSURANCES

Please provide all of the following written assurances via the Written Assurances Signature Form. The Written Assurances Signature Form must be signed using a valid digital signature; typed and handwritten signatures will be returned. Please contact the Institute directly if you would like help in using digital signature validation.

Governance

The education corporation provides a media notice regarding each board meeting in accordance with the Open Meetings Law, and that the education corporation posts information regarding board meetings on its website in accordance with the Open Meetings Law. More information is available at www.newyorkcharters.org/wp-content/uploads/Guide-to-Open-Meetings-Law.pdf.

Serving Students with Disabilities

- The school has hired an appropriately certified students with disabilities coordinator for programs serving students with disabilities in accordance with Exhibit C of the Charter Agreement, *Assurances Regarding Students with Disabilities*. Certification may be in any students with disabilities title or the coordinator may hold a related license such as a counsellor or therapist and have specific experience with students with disabilities and the I.D.E.A./CSE processes.
- The school is able to serve these students or has/will contact the CSE within 10 days to provide services to students with disabilities.
- Copies of student IEPs will be distributed to classroom teachers and are stored in lockable storage containers or password protected electronic storage systems.

Operations

- The school has distributed handbooks, policies, calendars, and class schedules to students and parents, or will distribute them within 10 days of the first day of classes.
- The school has requested or received each student’s prior school records.
- Each student has proper immunization and health records on file, and students who have not been immunized or exempted will be barred from school after 14 days. (Note that state law no longer permits religious exemptions. More information is available at www.p12.nysed.gov/sss/schoolhealth/schoolhealthservices/#immunization.)
- The board has developed and adopted both a comprehensive district-wide school safety plan and a building-level emergency response plan (“SAVE Plans”) in accordance with Education Law section 2801-a. With respect to the district-wide school safety plan, the board:
 - has/will convene make a copy of the draft plan available for public comment at least 30 days prior to adoption by the board;
 - hold a hearing to meet with required groups (parents and teachers) prior to adoption of the plan;
 - adopt a final SAVE plan; and,
 - send the final SAVE plan to NYSED, and revise the plan as directed by NYSED.
 - With respect to the building-level emergency response plan, the school has filed it with the appropriate local law enforcement agency and with the N.Y. State Police within 30 days of its adoption by the board.

- The school has adopted policies and procedures for annual school safety training for staff and students including annual staff training on the emergency response plan in accordance with Education Law § 2801(2)(h).
- The school has provided written materials to mandated reporters explaining the requirement and that the school has conducted or will conduct annual training.

Finance

- An accounting system with internal controls and fiscal policies is in place for the school, and those policies are the same as other schools with the Education Corporation, as applicable.
- The school has established a payroll system and, if offered, properly allows employees to consent to 12 month payroll.
- The Initial Statement process in the Charter Agreement is complete including all follow-up steps.

What to Submit:

Submit a Microsoft Word® file or Adobe® Acrobat file named:
6 – Written Assurances Signature Form

PART II: PRE-OPENING VISIT FACILITY CHECKLIST

The Institute will check for completion of the following items during the Pre-Opening Visit, typically conducted within one week of the school’s first day of instruction. Institute staff members will be in touch with the school’s compliance manager via email in order to schedule the visit.

NOTE: Should circumstances related to the ongoing COVID-19 pandemic necessitate opening the school in a virtual setting or preclude Institute staff members from visiting the school, the Institute will share additional information regarding the submission of necessary materials virtually.

ITEM/DELIVERABLE	School Checklist: Date Complete
FACILITY & FIXTURES	
Exterior Signage	
Religious Symbols	
Adequate Space	
Exit Signage and Evacuation Maps	
Accessibility	
Kitchen/Cafeteria	
Nurse’s Office	
SAFETY	
Security	
Exit Signage and Evacuation	
Fire Safety Equipment	
Hazardous Areas	
Automated External Defibrillator (AED)	
Window Guards <i>(if applicable based on age of students)</i>	
POSTINGS AND POLICIES	
State and Federal Employment Laws	
Complaint Policy	
FERPA	
FOIL	
Child Abuse or Neglect Reporting Information	
STUDENT RECORDS	
Locked Student Records	
FERPA Record List	
FERPA Staff Access List	
FERPA Access Log	

FACILITY AND FIXTURES

Exterior Signage

Exterior signage identifying the charter school by name and signage of the address are in place. The address is clearly visible from the street so as to be discernible by emergency responders.

Religious Symbols

The space must be free from all religious symbols, signs, or representations. The school should bring to the Institute's attention for review any items that are architectural and cannot be reasonably be covered or removed.

Adequate Space

The available space, including classrooms, restrooms, and special purpose rooms meets the requirements of the program and the number of students enrolled.

Accessibility

Space is accessible to all students (including students with disabilities), clean, and well-lit. If the building is not required to be accessible to persons with disabilities in accordance with the latest law and regulations (Americans with Disabilities Act, amendments, and applicable regulations (42 U.S.C. § 1201 *et seq.* and 28 C.F.R. Parts 35 and 36)), provide procedures for reasonable accommodation.

Kitchen/Cafeteria

If the school will serve food, the school has both food/beverage coolers and heaters in the kitchen/cafeteria area, or all equipment necessary to prepare and serve food in accordance with applicable law and regulations including documentation of such approval.

School Nurse

The school has adequately secure facilities for the school nurse including:

- A locked office;
- A locked refrigerator;
- Locked student health files;
- Locked medications including self-directed medications (unless a doctor has given permission to have the medication carried by student or staff (e.g., Epipen or inhaler)); and,
- Provisions for the disposal of sharps.

SAFETY

Security

The space is safe and secure; entrance and egress from the school's space is adequately controlled.

Exit Signage and Evacuation

Appropriate exit signage and/or fire evacuation maps are in place in each room occupied or utilized by the school where students may be present.

Fire Safety Equipment

Fire extinguishers are present on all floors occupied by the school and have been inspected by duly qualified personnel within the past calendar year, or as required by applicable law. Sprinklers, smoke

doors, fire hoses, lit emergency exit signs, alarm systems, fire escapes, access windows, etc., as applicable, are in place and approved operating condition.

Hazardous Areas

Hazardous areas are off limits to students including:

- All electrical rooms, mechanical rooms, breaker or fuse boxes, janitorial closets with cleaners/chemicals, or other hazardous areas off limits to students are locked except when access is required by authorized personnel;
- If science/cooking instruction rooms will use gas or chemicals, a gas shut off valve is present and operational, chemicals are in locked storage, and eye/body wash stations are operational, as applicable; and,
- Roof and under stairs access is locked.

Automated External Defibrillator (“AED”)

The school has the requisite number of automated external defibrillators in place as required by 8 NYCRR § 136.4 to ensure ready and appropriate access, and an appropriate number of staff members are trained in AED operation and use in school and at school sponsored events.

Window Guards

As appropriate for students under the age of six, window stops or gates are operable, if present.

POSTINGS AND POLICIES

State and Federal Employment Laws

Required state and federal employment laws are posted in an area that staff can readily access/review them.

Complaint Policy

A copy of the school’s complaint policy is on file in the main school office and accessible to parents upon demand.

FERPA

The FERPA policy notice is posted or available in the school’s main office.

Freedom of Information Law (FOIL)

The school’s FOIL notice is posted 1) in the school office or another location accessible to parents and staff, and 2) posted on the school’s website together with other required information. (See the FOIL guidance at www.newyorkcharters.org/wp-content/uploads/FOIL-Guide.pdf for more information).

The school must also maintain:

- a category list of records held by the school whether or not they can be disclosed under FOIL;
- a list of employees, their work stations, titles, and salaries; and,
- the education corporation’s FOIL regulations.

Child Abuse or Neglect Reporting Information

The school has posted in the main office in English and Spanish the toll-free telephone number (1-800-342-3720) operated by OCFS to receive reports of child abuse or neglect and the following website link to access the OCFS website: <http://ocfs.ny.gov/main/cps/>.

STUDENT RECORDS

Locked Student Records

All student records (academic, Individualized Education Programs (“IEPs”), health, etc.) are stored in lockable storage containers or password protected electronic storage systems. Health records are stored separately from student education records.

FERPA Record List

The school maintains a FERPA list of records typically found in a student file.

FERPA Staff Access List

The school maintains a list of staff members that have access to student files.

FERPA Access Log

Each student record file contains a FERPA Access Log to indicate who has accessed the file. (See the FERPA guidance at www.newyorkcharters.org/confidentiality-student-records/ for more information).

TEACHER CERTIFICATION AND EXPERIENCE ROSTER

SCHOOL NAME:											
TEACHER CERTIFICATION AND EXPERIENCE											
<p>Directions: Please enter the name of each teacher in the school and provide the requested information in each column. You may add additional rows if needed. Then enter the number of non-certified teachers at the bottom (include these teachers in the list and list as "Uncertified"). This form should include general education classroom teachers and any special education staff members. Please be as specific as possible. The first row is completed for you as an example.</p>											
Teacher's Name		Teaching Assignment (Grades/Subjects)	Charter School Approved Program - Alternative Certification	Out of State Certification (specify state)	Type of Certification (e.g., early childhood, subject, special education)	Certification Status (e.g., initial, professional, provisional, permanent, transitional B, SUNY-certified intern teacher, SUNY teacher)	Certification Issue Date (month and year)	Certification Expiration Date	Years Teaching Experience Prior to <u>This School</u> Year	Years Teaching Experience at This School Prior to <u>This School</u> Year	If Not Certified Indicate Other Experience ¹
Last	First										
Doe	Jane	3 rd , ICT	Sunshine Charter School Program	TN	Early Childhood, SWD	Professional	5/2009	N/A	4	0	
Number of Uncertified Teachers:											

Please use the following to indicate the other experience where the teacher is uncertified: T = 3 years of elementary, middle or secondary classroom teaching experience; C = tenured or tenure track college faculty; TFA = 2 years satisfactory experience through Teach for America; E = Exceptional business, professional, artistic, athletic, or military experience; or MS = of mathematics, science, computer science, technology, or career and technical education