## **PRE-VISIT DOCUMENTS CHECKLIST**

Please use the following checklist to track documents/deliverables **due to the Institute via Epicenter by July 15, 2020.** 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 |  |
| 2c | Open Meetings Law |  |
| **3. STUDENTS WITH DISABILITIES** |
| 3a | Response to Intervention (“RTI”) Policy |  |
| 3b | 504 Policy |  |
| 3c | Serving Students with Disabilities |  |
| **4. STUDENTS AND PARENTS** |
| 4a | Handbooks & Other Policies |  |
| 4b | School Calendar & Class Schedules |  |
| 4c | Enrollment |  |
| **5. OPERATIONS** |
| 5a | Student Records |  |
| 5b | Health Records |  |
| 5c | School Nurse |  |
| 5d | Transportation |  |
| 5e | Food Service |  |
| 5f | Safety |  |
| **6.** **FINANCE** |
| 6a | Accounting System |  |
| 6b | Payroll |  |
| **7.** **COMPLIANCE** |
| 7a | Compliance Contact |  |
| 7b | Mandated Reporting |  |
| 7c  | Initial Statement Process |  |

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

## **PRE-VISIT DOCUMENTS Requirements**

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**
	1. **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 non-instructional staff members including those who may not be employees, such as special education contractors, or cafeteria and security personnel.

What to Submit:

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

* 1. **School Leader**

Provide written notice to the institute within five days of the school leader’s hire date. Please provide the name of the school leader and his/her official title, start date, email address, and phone number.

What to Submit:

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

* 1. **Teacher Certification & Experience Roster**

Fill out the Institute *Teacher Certification & Experience Roster* template. If the school has more than one teacher (by whatever title) in a classroom, only include the lead teacher on the template that should detail each current teacher’s certification, teaching area, and experience. The template is attached below.

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**

* 1. **Teacher Certification Records**

Lead or head 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:

* At least three years of classroom teaching experience at the elementary or secondary level;
* A tenured or tenured-track college professor;
* Two years’ satisfactory experience through Teach For America; or,
* 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 teacher of record identified in the teacher roster:

* Scanned copies of TEACH certification records or New York State Education Department (“NYSED”) teaching certificates;

OR

* Appropriate proof of compliance with the requirements of Education Law
§ 2854(3)(a-1) (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**

* 1. **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](http://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 (IdentoGo) 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](http://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.

For any employee or contractor identified in the Staff Directory who has previously been cleared by NYSED after July 1, 2001, the school does not need to have the employee re-printed/scanned but must identify the person as working for the school in TEACH and obtain a clearance. 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.

What to Submit:

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

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

* 1. **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/IdentoGO 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**

1. **Governance (Not Applicable to Multi-School Education Corporations)**
2. **Management Contract**

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**

1. **By-laws**

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, provided 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**

1. **Open Meetings Law**

Please see the Institute’s guidance on Open Meetings at [www.newyorkcharters.org/wp-content/uploads/Guide-to-Open-Meetings-Law.pdf](http://www.newyorkcharters.org/wp-content/uploads/Guide-to-Open-Meetings-Law.pdf). Provide written assurance that 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.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **2c – Open Meetings Law**

1. **Students with Disabilities**
	1. **Response to Intervention (“RTI”)**

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, or refer to the school’s 504 team.

What to Submit:

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

* 1. **504 Policy**

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**

* 1. **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;
* Written documentation that the school has contacted the district CSE seeking records of each incoming student known to have a disability;
* Written assurance that the school has hired an appropriately certified coordinator for programs serving students with disabilities; and,
* Written assurance that the school is able to serve these students or has/will contact the CSE within 10 days to provide services to students with disabilities.

What to Submit:

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

1. **Students and Parents**
	1. **Handbooks and Other Policies**

Provide 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/](http://www.newyorkcharters.org/compliance/).

What to Submit:

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

* 1. **School Calendar and Class Schedules**

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

Provide written assurance that 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.

What to Submit:

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

* 1. **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 or Adobe® Acrobat file named:
**4c – Enrollment**

1. **Operations**
	1. **Student Records**

Provide written assurance that the school has requested or received each student’s prior school records, if applicable, or equivalent home schooling records.

What to Submit:

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

* 1. **Health Records**

Provide written assurance that each student has proper immunization and health records on file, and that 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](http://www.p12.nysed.gov/sss/schoolhealth/schoolhealthservices/#immunization).

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **5b – Health Records**

* 1. **School Nurse**

Provide evidence that the school has hired a school nurse and has procedures for the administration of medications.

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.

Provide copies of procedures for administration of prescription and non-prescription medications to students, and for the provision of required health services.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **5c – School Nurse**

* 1. **Transportation**

Provide evidence that appropriate provisions have been made for supplemental 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/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: **5d – Transportation**

* 1. **Food Service**

Provide evidence that appropriate provisions have been made for food service.

Provide a copy of the school’s agreement with food service provider, if applicable, or written assurance that arrangements have been made with the school district.

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: **5e – Food Service**

* 1. **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, which includes:

* + - A copy of the school’s draft SAVE plan; and,
		- Written assurance that the school will meet with required groups (parents and teachers) and submit a final SAVE plan, and revise as directed by NYSED.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **5f – Safety**

1. **Finance**
	1. **Accounting System**

Provide written assurance that 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.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **6a – Accounting System**

* 1. **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.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **6b – Payroll**

1. **Compliance**
	1. **Compliance Contact**

Provide the name, email address, and phone number of the person who will serve as the primary contact and liaise with the Institute with regard to compliance.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **7a – Compliance Contact**

* 1. **Mandated Reporting**

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

Provide written assurance that the school has provided written materials to mandated reporters explaining the requirements.

Provide written assurance the school has conducted, or will conduct annual training.

What to Submit:

Microsoft Word® file or Adobe® Acrobat file named: **7b – Mandated Reporting**

* 1. **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.

What to Submit:

Submit a Microsoft Word® file or Adobe® Acrobat file named: **7c – Initial Statement Process**

## **FACILITIES/PHYSICAL PLANT CHECKLIST**

During the Prior Action Visit, the Institute will check for completion of the following items.

|  |  |  |
| --- | --- | --- |
| **Item Number** | **ITEM/DELIVERABLE** | **School Checklist: Date Complete** |
| **1.** **SIGNAGE** |
| 1a | Exterior Signage |  |
| 1b | Religious Symbols |  |
| 1c | Exit Signage and Evacuation  |  |
| **2. SPACE** |
| 2a | Safe and Secure Space |  |
| 2b | Adequate Space |  |
| 2c | Accessibility |  |
| 2d | Kitchen/Cafeteria  |  |
| **3. SAFETY** |
| 3a | Fire Extinguishers |  |
| 3b | Hazardous Areas |  |
| 3c | Automated External Defibrillator |  |
| 3d | Window Guards (if applicable) |  |
| **4. POSTINGS AND POLICIES** |
| 4a | State and Federal Employment Laws |  |
| 4b | Complaint Policy |  |
| 4c | FOIL |  |
| **5. RECORDS** |
| 5a | Locked Student Records |  |
| 5b | FERPA Access Log |  |
| 5c | FERPA Staff Access |  |
| 5d | FERPA Record List |  |
| 5e | IEPs in Locked Storage |  |
| **6. NURSE’S OFFICE**  |
| 6a | Locked Storage for Medication |  |
| 6b | Adequate Space |  |
| 6c | Disposal of Sharps |  |

## **FACILITIES/PHYSICAL PLANT Requirements**

1. **Signage**
	1. **Exterior Signage**.

Exterior signage identifying the charter school by name, and signage of the address are in place.

* 1. **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.

* 1. **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.

1. **Space**
	1. **Security**

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

* 1. **Adequate Space**

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

* 1. **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.

* 1. **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.

1. **Safety**
	1. **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.

* 1. **Hazardous Areas**

The Institute will check to ensure hazardous areas are off limits to students.

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.

Roof and under stairs access is locked.

* 1. **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.

* 1. **Window Guards**

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

1. **Postings and Policies**
	1. **State and Federal Laws**

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

* 1. **Complaint Policy**

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

* 1. **Freedom of Information Law**

The school’s FOIL notice is posted in the school office or another location accessible to parents and staff. (See the FOIL guidance at [www.newyorkcharters.org/wp-content/uploads/FOIL-Guide.pdf](http://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 corporations FOIL regulations.
1. **Records**
	1. **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 records.

* 1. **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/](http://www.newyorkcharters.org/confidentiality-student-records/) for more information).

* 1. **FERPA Staff Access**

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

* 1. **FERPA Record List**

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

* 1. **IEPs in Locked Storage**

Written assurance that copies of student IEPs will be distributed to classroom teachers and are stored in lockable storage containers or password protected electronic storage systems.

1. **Nurse’s Office**
	1. **Locked Storage for Medications**

All medications including self-directed medications should be locked unless a doctor has given permission to have the medication carried by student or staff (e.g., Epipen or inhaler). A lockable refrigerator for medications is a requirement.

* 1. **Adequate Space for Treatment and Storage of Medical Records**
	2. **Provision for the Disposal of Sharps**

This includes needles, syringes, etc.

## **TEACHER CERTIFICATION AND EXPERIENCE ROSTER**

|  |  |
| --- | --- |
| **SCHOOL NAME:** |   |
| TEACHER CERTIFICATION AND EXPERIENCE |
| **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. |
| **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 This School Year** | **Years Teaching Experience at This School Prior to This School Year** | **If Not Certified Indicate Other Experience1** |
| **Last**  | **First** |
| *Doe* | *Jane* | *3rd, ICT* | *Sunshine Charter School Program* | *TN* | *Early Childhood, SWD* | *Professional* | *5/2009* | *N/A* | *4* | *0* |  |
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| **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