



*Office of Charter Schools*

**NC ACCESS PROGRAM**

NC Department of Public Instruction

**NC ACCESS Subgrant Application Process  
Guidance Document**

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*Disclaimer: This document is for guidance purposes only and does not supersede any statute, rule, or policy. Please contact the NC ACCESS Program within the Office of Charter Schools at the North Carolina Department of Public Instruction with specific questions.*

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## **Overview of the NC ACCESS Subgrant Program**

In 2018, the North Carolina Department of Public Instruction (NCDPI) was awarded a Public Charter Schools Program (CSP) grant from the U.S. Department of Education (USDOE) of approximately \$26,600,000. The CSP grant will be used to implement the North Carolina Advancing Charter Collaboration and Excellence for Student Success (NC ACCESS) Program to:

1. Increase the number of educationally disadvantaged students<sup>1</sup> attending high-quality charter schools and expand the number of high-quality charter schools available to educationally disadvantaged students;
2. Develop a cohort of one hundred (100) charter school leaders who can develop and demonstrate best practices in serving educationally disadvantaged students<sup>2</sup>; and
3. Broadly disseminate best practices in serving educationally disadvantaged students and foster collaboration in the charter school community and between charter schools and traditional public schools.

The NC ACCESS program has allocated the majority of the CSP funds to advance Priority 1 listed above through school-level subgrants, though subgrant recipients must also demonstrate a desire to share best practices with both charter schools and traditional public schools. For each of the five (5) years of the federal CSP award<sup>3</sup>, the NC ACCESS Program will conduct a competitive subgrant application process and award subgrants to North Carolina charter schools that propose a comprehensive plan to increase the number of educationally disadvantaged students attending high-quality charter schools and/or expand the number of high-quality charter schools available to educationally disadvantaged students.

## **Application Process**

The subgrant application process consists of four (4) parts:

1. **Letter of Intent:** Any school seeking to apply for an NC ACCESS subgrant must submit a letter of intent to [NCACCESS@dpi.nc.gov](mailto:NCACCESS@dpi.nc.gov) **no later than 5:00 p.m. (EDT) on May 2, 2022**, of the subgrant cycle in which the applicant wishes to apply. If the letter of intent is not submitted on time, the applicant will not be eligible to apply for a subgrant in that cycle and will have to wait until the following year. The letter of intent should be no longer than two (2) pages and must include:
  - a. the specific subgrant category under which the applicant plans to apply;
  - b. a description of the applicant's desire and commitment to serve a greater number of educationally disadvantaged students; and
  - c. a brief summary of the strategies the applicant plans to implement to fulfill their commitment to serve a greater number of educationally disadvantaged students.

The NC ACCESS Program team will review all letters of intent and determine schools' eligibility to submit a subgrant application.

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<sup>1</sup> Educationally disadvantaged students are defined as students who are economically disadvantaged, English learners, students with disabilities, homeless or unaccompanied youth, migrant students, and immigrant students.

<sup>2</sup> Additional requirements for subgrantees include the participation in the year-long NC ACCESS Fellowship. For a complete list of requirements, see the [Requirements of Subgrantees](#) section of this document.

<sup>3</sup> Additional funding after year two (2) is contingent upon accurate reporting, monitoring, and appropriation of funds from the USDOE.

2. **Subgrant Application:** Any school deemed eligible to submit an NC ACCESS subgrant application must submit a full and complete application in [Epicenter](#)<sup>4</sup> **no later than 5:00 p.m. (EDT) on July 1, 2022**, of the subgrant cycle in which the applicant wishes to apply. A full and complete application shall contain the following components<sup>5</sup>:
  - a. Applicant Contact Information
  - b. Signed Assurances
  - c. Application Narrative (no more than twenty (20) pages)
    - i. Enrollment Projections
    - ii. Education Plan
    - iii. Operations Plan
    - iv. If applicable, a school closure plan (no more than five (5) additional pages)
  - d. Budget, Budget Narrative, and Logic Model
    - i. Budget, using NC ACCESS Budget template
    - ii. Budget Narrative (no more than five (5) pages)
    - iii. Logic Model, using NC ACCESS Logic Model template
  - e. Competitive Preference Standards (optional)
  - f. Priority Consideration Status (optional)
  - g. Certification
  - h. Subgrant Application Appendices
3. **Application Review and Evaluation:** Will occur in July; a team of external evaluators will review and evaluate each subgrant application.
4. **Recommendation and Approval:** Following the application review and evaluation, award approval recommendations will be made to the CSAB. The CSAB will take all recommendations, application reviews, and due diligence into account and make a recommendation for the approval of subgrants to the State Board of Education (State Board). The State Board will determine the final approval of all subgrant awards at their regularly scheduled October meeting.<sup>6</sup>

### **Guidance for Sponsors Submitting Applications**

**Technical Support and Assistance.** The NC ACCESS team will host in-person and virtual trainings and information sessions throughout March - May to assist interested applicants in developing their applications. Please visit the [NC ACCESS page](#) of the Office of Charter Schools website for scheduling information.

**Eligibility Requirements.** The eligibility criteria for each of the four (4) subgrant categories is outlined below. All prospective applicants must meet the federal definition of a “charter school” and/or “developer” as outlined in the [NC ACCESS Program Subgrant Application](#).

- **Category: Planning and Implementation.** Planning and Implementation subgrants will be available to charter operators entering their planning year. Since these schools will not have school accountability data to support their potential for success, applicants must demonstrate a strong commitment to and comprehensive plan for recruiting and effectively serving educationally disadvantaged students, as well as a desire to share best practices with both charter

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<sup>4</sup> Eligible applicants will be provided with access to the application portal in Epicenter.

<sup>5</sup> Review the [NC ACCESS Program Subgrant Application](#) for specifics.

<sup>6</sup> Unless otherwise scheduled by the State Board of Education.

schools and traditional public schools. The Planning and Implementation subgrant allows both planning and implementation activities but **planning activities may not last more than eighteen (18) months**. A charter school or “developer” that has received a CSP grant directly from the USDOE through a separate competition is **ineligible** to receive a Planning and Implementation subgrant through the NC ACCESS Program.

- **Category: Implementation Only.** Implementation Only subgrants will be available to charter operators in years one (1) to three (3) of operation. Since these schools will have limited data to support their potential for success, applicants must demonstrate a strong commitment to and comprehensive plan for recruiting and effectively serving educationally disadvantaged students, as well as a desire to share best practices with both charter schools and traditional public schools. If state accountability data is available for a school applying for an Implementation Only subgrant, school accountability data will be evaluated. Eligible applicants must:
  - a. have maintained at least a “B” School Performance Grade (SPG), as determined by the NCDPI, for all years of data available;
  - b. have met or exceeded academic growth, as determined by EVAAS, for all years of data available; and
  - c. when applicable, have a graduation rate higher than the state average.

Additionally, eligible applicants must not have any unresolved academic, financial, or operational issues. A charter school or “developer” that has received a CSP grant directly from the USDOE through a separate competition is **ineligible** to receive an Implementation Only subgrant through the NC ACCESS Program.

- **Category: Expansion.** Expansion subgrants will be available to high quality charter schools interested in expanding access for educationally disadvantaged students through the addition of grade levels and/or a substantial increase in student enrollment. In order to maintain a commitment to quality, expansion applicants must meet one (1) of the following three (3) eligibility criteria:
  1. “A/B” school and “Met/Exceed” growth for two (2) of the past three (3) years. Eligible schools must:
    - a. have maintained at least a “B” SPG, as determined by the NCDPI, for at least two (2) out of the three (3) years prior to their application cycle;
    - b. have met or exceeded academic growth, as determined by EVAAS, for at least two (2) out of the three (3) years prior to their application cycle; and
    - c. when applicable, have a graduation rate higher than the state average.
  2. “A/B” school for the past three (3) consecutive years. Eligible schools must:
    - a. have maintained at least a “B” SPG, as determined by the NCDPI, for all three (3) years prior to their application cycle; and
    - b. when applicable, have a graduation rate higher than the state average.
  3. “C” school and “Met/Exceed” growth for the past three (3) consecutive years. Eligible schools must:
    - a. have maintained at least a “C” SPG, as determined by the NCDPI, for all three (3) years prior to their application cycle;
    - b. have met or exceeded academic growth, as determined by EVAAS, for all three (3) years prior to their application cycle; and
    - c. when applicable, have a graduation rate higher than the state average.

Additionally, eligible applicants must not have any unresolved academic, financial, or operational issues. If an applicant has received a previous subgrant under this funding or through a CSP grant

directly from the USDOE through a separate competition, the school must provide at least five (5) years of improved educational results and expansion subgrant funds cannot not be used for the same activities as those that were funded under the previous subgrant.

- **Category: Replication.** Replication subgrants will be available to high quality charter schools that exhibit academic, financial and operational success and a desire to replicate their successful school model to serve a greater number of educationally disadvantaged students. In order to maintain a commitment to quality, replication applicants must meet one (1) of the following three (3) eligibility criteria:
  1. “A/B” school and “Met/Exceed” growth for two (2) of the past three (3) years. Eligible schools must:
    - d. have maintained at least a “B” SPG, as determined by the NCDPI, for at least two (2) out of the three (3) years prior to their application cycle;
    - e. have met or exceeded academic growth, as determined by EVAAS, for at least two (2) out of the three (3) years prior to their application cycle; and
    - f. when applicable, have a graduation rate higher than the state average.
  2. “A/B” school for the past three (3) consecutive years. Eligible schools must:
    - c. have maintained at least a “B” SPG, as determined by the NCDPI, for all three (3) years prior to their application cycle; and
    - d. when applicable, have a graduation rate higher than the state average.
  3. “C” school and “Met/Exceed” growth for the past three (3) consecutive years. Eligible schools must:
    - a. have maintained at least a “C” SPG, as determined by the NCDPI, for all three (3) years prior to their application cycle;
    - b. have met or exceeded academic growth, as determined by EVAAS, for all three (3) years prior to their application cycle; and
    - c. when applicable, have a graduation rate higher than the state average.

Additionally, eligible applicants must not have any unresolved academic, financial, or operational issues.

**Standard of Review.** In accordance with Priority 1 of the NC ACCESS Program, all subgrant applications are evaluated and awarded based on an applicant’s plan and ability to increase the number of educationally disadvantaged students attending high-quality charter schools and expand the number of high-quality charter schools available to educationally disadvantaged students. To achieve this priority, applicants will be required to propose a plan that will:

1. support a significant increase in the enrollment of educationally disadvantaged students;
2. remove as many barriers as possible for educationally disadvantaged students; and
3. support educationally disadvantaged students in all aspects of their education.

All complete applications will be evaluated using the [NC ACCESS Program Subgrant Application Rubric](#). Applications must meet all general standards and score at least eighty out of a possible one hundred (80/100) points on the technical standards to be considered eligible for a subgrant award.

**Submitting an Application.** All sponsors submitting subgrant applications must do so in accordance with all deadlines outlined in the NC ACCESS Program Subgrant Application. All materials required for application including contact information, assurances, application narratives, budgets, budget narratives, logic models, and appendices must be submitted online via [Epicenter](#). All written application materials,

including the application, narratives, budget, logic model, and appendices, must be submitted as one (1) full PDF document. Additionally, a completed copy of the proposed budget using the [template](#) provided should be submitted separately in Excel format.

All submitted applications will undergo a completeness check to ensure all required submissions are included in the subgrant application. Incomplete applications will not be accepted or reviewed. Completed applications will be evaluated by members of the NC ACCESS team and external evaluators. Applicants will not be interviewed by the evaluation team. Only the full application and any necessary due diligence will be evaluated as part of the subgrant approval process.

**Application Narrative.** The application narrative of the subgrant application is divided into three (3) subsections: Enrollment Projections, Education Plan, and Operations Plan. Additional evidence can be provided in the appendices, if needed.

1. **Enrollment Projections.** This section requires applicants to provide all projected enrollment estimates for the next five (5) years and explain the rationale supporting the enrollment projections. Applicants should use all available data (e.g. current enrollment data, waitlist data, local LEA demographic data, community demographic data, etc.) to support the enrollment projections. Additionally, this section requires applicants to outline how a weighted lottery will support the enrollment projections. Additional weighted lottery guidance can be found beginning on [page 6](#) of this document.
2. **Education Plan.** This section requires applicants to describe the education plan for the school, including how it is specifically tailored to support educationally disadvantaged students. This section contains six (6) questions covering topics like SMART goals, academic program and instructional/support strategies, discipline and school climate, and the school calendar.
3. **Operations Plan.** This section requires applicants to describe the operations plan for the school as it relates to specific goals of the NC ACCEESS Program, including how it is specifically tailored to support educationally disadvantaged students. This section contains seven (7) questions covering topics like staffing and professional development, marketing and recruitment, transportation, school lunch, contracted services, and parent/community engagement.

**NOTE:** All NC ACCESS Program subgrantees will be required to create and maintain a Parent/Community Advisory Council focused on increasing and improving services for educationally disadvantaged populations and soliciting feedback regarding potential improvements on the operational aspects of charter schools. Minutes from these meetings will be provided to NC ACCESS Program staff on an annual basis, and suggestions and feedback from minutes will be included in the NC ACCESS Program Annual Report. Membership on this advisory council can be no fewer than six (6) members, must reflect the diversity of the local area and parents of students in the school cannot represent over fifty percent (50%) of the advisory council's membership. NC ACCESS Program schools will have autonomy to develop the mechanisms through which parent/community members are recruited and appointed or elected to the advisory council. Advisory councils must meet at least three (3) times annually and have met at least once within the first six (6) months after receiving the notification of a subgrant award.

Additionally, applicants applying for Planning and Implementation, Implementation Only, and Replication subgrants must provide a school closure plan utilizing the following best practices established by the National Association of Charter School Authorizers (NACSA) and scholarship on charter school closure:

- Form a Student Transition Committee (STC) – This committee will consist of one (1) NC ACCESS program staff member (in an advisory capacity), at least two (2) members of the school’s administrative team, at least three (3) parents from the school, at least two (2) members of the charter school’s board, and if possible, one to two (1-2) members of the LEA district student reassignment office in which the school is geographically located. The NC ACCESS staff member can help facilitate the outreach and collaboration with the LEA. This committee will plan activities related to family and student support during the closure process. The committee will establish a Student Transition Plan (discussed below) that focuses on student reassignment into high-quality schools as quickly as possible following a school closure. The STC will work with quality local charter and district schools to establish enrollment preferences for displaced students.
- Develop a Student Transition Plan (STP) – The Transition Plan must include a plan to provide written notices to parents, schedule multiple informational meetings at varied times so that all parents have an opportunity to attend, provide individualized assistance to parents, and collaborate with the broader educational community in the event of a school closure. The STC must also work diligently to identify and address any barriers to providing transitional support to parents and students (i.e. providing written materials in appropriate home languages and offering meetings at different times of day). Clear deadlines for key reassignment activities must be established in the STP.

**Weighted Lotteries.** As a tool to support the enrollment of educationally disadvantaged students in high-quality charter schools, subgrantees must develop and implement a weighted lottery. In addition to the information regarding weighted lotteries outlined in [NC General Statute](#), the following parameters should be considered for NC ACCESS Program subgrantees. Please email [NCACCESS@dpi.nc.gov](mailto:NCACCESS@dpi.nc.gov) for additional weighted lottery guidance.

The subgrant application will require prospective applicants to outline the specific parameters of how the school plans to implement a weighted lottery to support the enrollment of educationally disadvantaged students. There is no prescribed method that the NC ACCESS Program requires, however, weighted lotteries are typically conducted in one (1) of the following ways:

1. **Weighting a student’s individual chances in the general lottery.** In this approach, a student who opts into a weighted lottery is given a statistically higher chance of being selected through a random, general lottery. For example, Student A, who qualifies for the weighted lottery, is weighted two times (2x) in a general lottery compared to Student B who does not qualify. An easy way to think about this is through a lottery that randomly pulls ping pong balls for available seats. Student A would receive two (2) ping pong balls placed in the lottery, while Student B would only receive one (1). Therefore, Student A has a higher likelihood of being selected based on their additional weight.
2. **Conducting the weighted lottery prior to the general lottery.** In this scenario, students who qualify for the weighted lottery are randomly chosen until the specified target percentage is filled. Then, the remaining students who qualify for the weighted lottery, but were not selected, are placed into the general lottery pool, and the remaining seats are filled through a general lottery. For example, a school setting a twenty percent (20%) weighted lottery threshold would draw students qualifying for the weighted lottery first to fill that designated twenty percent (20%). Any



student qualifying for the weighted lottery that is not selected in the initial drawing is then placed into the general lottery, and the school conducts a general lottery of all remaining students to fill the remaining eighty percent (80%) of seats.

In order to advance the NC ACCESS Program's explicitly stated goal of increasing the educationally disadvantaged student population in high-quality charter schools, subgrantees must adhere to the following guidance for the subgroups of students that are eligible to be considered for a weighted lottery:

1. The weighted lottery shall provide students who are economically disadvantaged with additional weight in the lottery. Socioeconomic status, and economic disadvantage specifically, is often the closest statistical indicator of educational disadvantage. Schools should be mindful of the marketing and recruitment strategies they employ to ensure that solely weighting for economic disadvantage does not exclude other categories of educational disadvantage.
2. Subgrantees have the flexibility to provide weighted preference for students who meet other educationally disadvantaged designations. Therefore, in addition to providing weighted preference for students who are economically disadvantaged, a subgrantee may choose to provide weighted preference for any additional categories of "educational" disadvantage. The additional subgroups of students defined as educationally disadvantaged are:
  - English learners;
  - Students with disabilities;
  - Homeless or unaccompanied youth;
  - Immigrant students; and
  - Migrant students.

In summary, subgrantees' weighted lotteries *must* provide preference for students who are economically disadvantaged and *may* provide preference for any additional categories of educational disadvantage. The NC ACCESS Program does not prescribe the method by which the weighted lottery must be conducted. Please contact the Office of Charter Schools for support through the amendment process.

**Subgrant Budget Planning and Allowable Use of Funds.** Sponsors submitting an application for NC ACCESS subgrant funding must submit a complete and realistic budget for the duration of the subgrant. Applicants must complete a proposed budget using the [template](#) provided as part of the subgrant application.

Charter schools may use CSP subgrant funds only for post-award planning and design of the educational program, and initial implementation of a charter school. [Uniform Guidance Title 2 - Subtitle A - Chapter II - Part 200 Subpart E](#) establishes principles for determining allowable costs for Federal grants to non-profit entities. As a general matter, costs must be reasonable, necessary, and allocable to meet the objectives of the grant.

Costs met through this grant must meet general criteria applicable to all federal grants. [Section 4303 \(h\) of the ESSA](#) defines the types of activities that may be paid for through this grant. Please also review the [nonregulatory guidance](#), issued by the USDOE in January 2014, in its entirety.

Per the federal regulations included in [Section 4303\(h\) of the ESSA](#), an eligible applicant may use subgrant funds to support activities related to opening and preparing for the operation of a new charter school which can include:

1. Preparing teachers, school leaders, and specialized instructional support personnel, including through paying the costs associated with:
  - a. providing professional development; and
  - b. hiring and compensating, during the eligible applicant’s planning period<sup>7</sup>, one or more of the following:
    - i. Teachers.
    - ii. School leaders.
    - iii. Specialized instructional support personnel.
2. Acquiring necessary supplies, training, equipment (including technology), and educational materials (including developing and acquiring instructional materials).
3. Carrying out necessary renovations to ensure that a new school building complies with applicable statutes and regulations, and minor facilities repairs (excluding construction).
4. Providing one-time, startup costs associated with providing transportation to students to and from the charter school.
5. Carrying out community engagement activities, which may include paying the cost of student and staff recruitment.
6. Providing for other appropriate, non-sustained costs related to activities in opening and preparing for the operation of charter schools.

Additionally, applicants should include the following provisions in the proposed budget:

1. Set aside three thousand dollars (\$3,000) in “Support – Travel, Conferences, and Meetings” in year one (1) to cover travel costs associated with the NC ACCESS Fellowship; and
2. No more than fifty percent (50%) of the total subgrant funding may be expended by the end of year one (1).

Applicants must ensure that all costs included in the proposed budget are allowable, reasonable, and necessary considering the goals and objectives of the grant application. Any costs determined to be unallowable, unreasonable, or unnecessary will be removed from the final budget and a revised budget will be required.

Budgets under this grant should be developed within the parameters created by applicable federal statutes and regulatory and nonregulatory guidance. Applicants are expected to demonstrate how the proposed use of funds complies with the applicable statutory and regulatory requirements and to articulate how the proposed use of grant funds aligns with the mission and objectives of the charter school.

Applicants may find it helpful to use the following procedure in developing proposed budgets:

1. Review the allowable costs outlined in [Appendix A](#) of this document.
2. Review the Charter Schools Program [nonregulatory guidance](#) issued January 2014.
3. Review [Uniform Guidance Title 2 - Subtitle A - Chapter II - Part 200 Subpart E](#) for allowability of specific items generally. Please note that this document applies to all federal grants to non-profit organizations. It describes some expenses as allowable or unallowable generally, but it is not a list of expenses that are specifically allowable or unallowable under this grant. This document also governs the record keeping requirements for grantees.

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<sup>7</sup> Hiring and compensating personnel is restricted to activities performed during the planning period.

### **Approval and Awarding of Subgrants**

The State Board will grant final approval and award subgrants to selected schools. The State Board will render a decision at a regularly scheduled or special-called meeting. The State Board will consider the full record of review and the recommendation by the CSAB, but the State Board is not bound by the recommendation. The decision of the State Board is not subject to appeal.

Once subgrants are approved and awarded, the NC ACCESS team will contact each school to discuss next steps.

### **Requirements of Subgrantees**

Approved subgrantees are required to participate in all aspects of the NC ACCESS Program. Failure to fully participate may result in the termination of subgrant funds.

**Monitoring and Reporting.** Subgrantees are required to participate in all monitoring and reporting activities outlined by the NC ACCESS Program in accordance with federal rules, regulations, and guidelines. This includes, but is not limited to:

- Annual, on-site monitoring;
- Desktop monitoring;
- Monthly reimbursement requests;
- State and federal financial reporting and evaluation; and
- Annual progress reports toward goals.

**NC ACCESS Fellowship.** The NC ACCESS Fellowship is a year-long, immersive professional development program for leaders of schools awarded subgrants designed to provide subgrantees with the support and technical assistance they need in order to effectively develop, expand, and replicate their schools. The Fellowship is designed to support leaders from each NC ACCESS subgrantee school in the first year of the subgrant. Subgrantees are required to have two (2) members of the leadership team participate in all aspects of the program. The school leader is required to attend, and it is recommended that the second participant be another instructional leader in the school.<sup>8</sup>

The NC ACCESS Program is committed to increasing access for educationally disadvantaged students in high-quality charter schools in the State of North Carolina. As a result of this commitment, the NC ACCESS Program has developed the Fellowship for subgrantee charter school leaders to learn, develop, and demonstrate best practices in serving educationally disadvantaged students and fostering collaboration within the charter school community and between charter and traditional public schools. The sessions will include opportunities to build supportive and collaborative networks, share best practices, and engage in critical conversations with state and national experts who have experience in leadership best practices, developing, expanding, and replicating successful high-quality schools, and/or working with educationally disadvantaged populations.

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<sup>8</sup> The school leader, however identified or titled, is the lead administrator of the school. If the second participant is proposed to be someone other than another instructional leader, the subgrantee must notify the NC ACCESS team and the second participant must be approved by the NC ACCESS team.

Fellows will participate in both in-person and virtual sessions focused on developing leadership capacity and equipping leaders with the skills and knowledge to create and lead a learning environment that promotes learning for all students, especially those who are educationally disadvantaged. Additionally, training will be provided on the operational, fiscal, and academic components for successful school implementation, expansion, and replication. NC ACCESS Fellows will be asked to utilize the information provided during the institute to develop a structured action plan for the implementation of their subgrant.

In an effort to provide resources and technical assistance to potential NC ACCESS Program applicants and school leaders in NC and beyond, the NC ACCESS Program will develop a dedicated website that will serve as a repository for the School Leader Portfolios. New resources and portfolios will be added to the website each year, which will result in a robust online portal through which aspiring and current school leaders can find resources to help develop the quality of their school's programs and services, especially as it relates to serving educationally disadvantaged students.

The following are major components of the program that require subgrantee participation:<sup>9</sup>

- Twelve (12) Professional Learning Community meetings (both in-person and virtual);
- Completion of a portfolio of strategies, best practices, and lessons learned that will be posted publicly;
- Present at a state or national conference;
- Host a collaborative event at the subgrantee's school; and
- Provide mentorship and development support to future fellows.

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<sup>9</sup> Full details of the NC ACCESS program will be provided to approved subgrantees during program orientation.

## Frequently Asked Questions

### **1. How long does the application and approval process take?**

The time spent writing an application will vary by applicant, but the NC ACCESS team will provide technical assistance leading up to the application deadline on July 1<sup>st</sup>.

The approval process from submission of the application to final approval of subgrant awards takes about three (3) months. Applications are due July 1<sup>st</sup>, and the State Board will award subgrants in September or October. (\*Note: Letters of Intent are due by May 2<sup>nd</sup>.)

### **2. How do I know if my school is eligible for a subgrant?**

Subgrant eligibility requirements are outlined in the [Eligibility Requirements](#) section of this document and in the [NC ACCESS Program Subgrant Application](#).

### **3. What is the difference between a Planning and Implementation subgrant and an Implementation Only subgrant?**

Planning and Implementation subgrants are awarded to schools that have been approved for operation by the State Board and are going into their planning year. Planning activities may not last more than eighteen (18) months.

Implementation Only subgrants are awarded to currently operating schools that have been open for one to three (1-3) years.

### **4. What is the difference between a Replication subgrant and an Expansion subgrant?**

Replication subgrants are awarded to schools that have been approved by the State Board to replicate a high-quality school model under a new charter.

Expansion subgrants are awarded to high-quality schools planning to expand enrollment or grade levels under the existing charter.

### **5. Which years of accountability data are used to determine eligibility?**

The most current three (3) years of publicly available accountability data as published by the NCDPI. If less than three (3) years of data are available, the most recent available data will be used.

### **6. Is the weighted lottery a requirement?**

Yes. Schools must implement a weighted lottery as a tool to support a significant increase in the enrollment of educationally disadvantaged students. Additional guidance on the weighted lottery can be found on [page 6](#) of this document.

### **7. Do I need to have been approved for a weighted lottery by CSAB and State Board prior to applying?**

An approved weighted lottery is not a requirement prior to applying. Applicants can concurrently apply for a subgrant while they are in the process of obtaining approval from the State Board to implement a weighted lottery.

**8. Do I have to provide transportation and lunch to receive a subgrant?**

The application states that applicants must provide a plan for transportation and a comprehensive school lunch program. For example, that may or may not mean that the school itself is providing busing but has a plan in place to eliminate transportation as a barrier for educationally disadvantaged students. However, this is a competitive subgrant, so be mindful of how effectively your transportation and lunch plans support an educationally disadvantaged population. Please note, the school lunch plan is not required to be the National School Lunch Program but, if not, must still be a comparable, comprehensive lunch program.

**9. My school received a Charter Schools Program Developer Grant for the “opening of new charter schools and for the replication and expansion of high-quality charter schools” from the US Department of Education. Am I eligible to apply for an NC ACCESS subgrant?**

No. Schools receiving Non-State Educational Agency grant awards from the USDOE’s Charter Schools Program are not eligible for an NC ACCESS subgrant.

**10. How many subgrants are awarded each year?**

The number of subgrants awarded each year and within each category will depend on the strength of the applications submitted. Generally, between eight to twelve (8-12) subgrants will be awarded in each subgrant cycle. Fifty (50) subgrants will be awarded over the course of five (5) years.

**11. How much funding is available to individual subgrantees?**

The maximum award amount available to subgrantees is \$400,000.00.

**12. What if the total subgrant requests exceed available subgrant funding in a given year?**

The strength of the application will determine which schools are awarded subgrants. The application does allow schools to identify competitive preferences to strengthen their chance of receiving a subgrant.

**13. My school applied but was not awarded a subgrant in a previous application cycle. Can we apply again?**

Yes. Schools who applied but were not awarded a subgrant in a previous cycle are eligible to apply again, provided that the school still meets the eligibility criteria outlined in the [Eligibility Requirements](#) section of this document and in the [NC ACCESS Program Subgrant Application](#).

**14. I have applied for a charter school, but the CSAB has not yet decided on my application. Can I apply?**

Yes. Charter school applicants currently in the state approval process are eligible to apply for a subgrant. The awarding of a subgrant is contingent on first being approved by the CSAB and State Board to operate a public charter school in North Carolina.

**15. If I am applying for a charter school through the acceleration track, am I eligible for a Planning and Implementation subgrant?**

No. Applicants currently going through the state approval process to open a charter school through the acceleration track are only eligible for an Implementation Only subgrant because the school’s planning period will have expired by the time funds are available.

**16. Who is my main contact during the application process?**

Please contact the NC ACCESS team at [NCACCESS@dpi.nc.gov](mailto:NCACCESS@dpi.nc.gov) or (984) 236-2700.

## Appendix A

### NC ACCESS Subgrant Allowable Costs Guidance

This appendix is intended to assist NC ACCESS subgrant applicants with planning and preparing budgets and budget amendments for CSP funds.

#### How to use this guide:

- Allowable costs are listed in the table on pages 14-18 below. Each budget category must be designated for use in the instructional program or support services program in the applicant's proposed budget.
- Any major expenses that are not referenced in your application will need program approval. Ensure your budget aligns with your application.
- Some costs are never allowable within the CSP grant program. A list of unallowable costs is on page 19 of this guide.
- Whether a cost is allowable in the Planning or Implementation phase is indicated in the table below. "Yes" indicates a cost is allowable during the period; "No" means it is not allowable during the period.
- Do not copy and paste descriptions. This guide is meant to help schools determine whether a type of cost is allowable.
- Finally, if an item or service is not listed in this document, contact the NC ACCESS Program team to get help determining if a cost is allowable within the program.

#### Remember:

- All proposed budget line items must be reasonable, necessary, allowable, and allocable.
- Budget requests must align with state and federal laws and guidance.
- Subrecipients may be required to provide additional documents to the NC ACCESS Program team at any time.
- Regardless of threshold, equipment and computer hardware must be accountable and reported to the NC ACCESS Program team via required Inventory Reports.
- Distribute the money evenly across the years of the subgrant which will better guide your expense and purchase needs.
  - No more than fifty percent (50%) of the total subgrant funding may be expended by the end of year one (1);



| Salaries  |   |                    |                    |
|---|---|--------------------|--------------------|
| Purpose/Description/Examples  | Acceptable Justification and Notes  | Planning           | Implementation     |
| <p><b>Essential Staff Salaries</b><br/>           Amount paid to employees of the school essential during pre-opening period.</p> <p>EXAMPLES:<br/>           Administrator or Director of School, Executive Assistant, or Administrative Assistant.</p>  | <ul style="list-style-type: none"> <li>• Cost allowable ONLY prior to school opening date.</li> <li>• Include what the charter school's plan to include these staff in the budget is beyond the life of the grant.</li> <li>• How will capacity be built through this staff member so that the staff member can either be sustained or will no longer be needed beyond the life of the grant?</li> </ul>  | Yes                | No                 |
| Employer Provided Benefits  |   |                    |                    |
| Purpose/Description/Examples  | Acceptable Justification and Notes  | Planning           | Implementation     |
| <p><b>Essential Staff Fringe Benefits</b><br/>           Amount paid to employees of the school essential during preopening period.</p>   | <ul style="list-style-type: none"> <li>• Cost allowable ONLY prior to school opening date.</li> <li>• Include what the charter school's plan to include these staff in the budget is beyond the life of the grant.</li> <li>• How will capacity be built through this staff member so that the staff member can either be sustained or will no longer be needed beyond the life of the grant?</li> </ul>  | Yes                | No                 |
| Professional Fees and Contracted Services   |   |                    |                    |
| Purpose/Description/Examples  | Acceptable Justification and Notes  | Planning           | Implementation     |
| <p><b>Professional and Technical Services</b><br/>           Consulting costs for services related to start-up expenses and organization development.</p> <p>EXAMPLES:<br/>           Legal costs for lease and charter contract negotiations, bylaws, policies; Consulting fees to develop organization policies and business plan, accounting/auditing professional to develop internal controls, accounting systems, and the development of auditable financial processes/financial reporting.</p> | <ul style="list-style-type: none"> <li>• Scope of services/deliverables and/or expectation of outcomes.</li> <li>• Cost allowable one-time ONLY during Planning <b>OR</b> Implementation (not allowable in both phases).</li> <li>• Applicants should have documentation of what legal fees cover. This may include a possible contract or expectation of outcome from law firm or legal consulting firm.</li> <li>• Keep in mind - How are schools paying the legal/consulting firm and how is the firm being of service to the school without wasting money?</li> </ul> | Yes/No (see notes) | Yes/No (see notes) |
| <p><b>Audit Services</b><br/>           First year audit.</p>   | <ul style="list-style-type: none"> <li>• Cost allowable one-time ONLY during Implementation.</li> <li>• Expense should occur in year two budget.</li> <li>• No CSP funds can go to a Charter School Management company.</li> </ul>  | No                 | Yes                |

| Professional Fees and Contracted Services (cont.)  |   |          |                |
|--|---|----------|----------------|
| Purpose/Description/Examples   | Acceptable Justification and Notes  | Planning | Implementation |
| <p><b>Instructional Staff Training</b><br/>           Training for instructional staff designed to contribute to their professional or occupational growth and competence.</p> <p>EXAMPLES:<br/>           In-service training, professional development, conferences, workshops, demonstrations, school visits to other charter schools.</p>                                      | <ul style="list-style-type: none"> <li>• Scope of services/deliverables and/or expectation of outcomes for training.</li> <li>• Must include dates and duration, number of staff to receive training.</li> <li>• Additional justification may be requested for out- of-state travel, extraordinary costs.</li> <li>• Travel costs must comply with the applicable fiscal year <a href="#">per diem rates for North Carolina</a> as outlined by the US General Services Administration.</li> </ul> | Yes      | Yes            |
| <p><b>Instruction and Curriculum Development</b><br/>           Services which are designed to aid in developing curriculum and understanding techniques for instruction.</p> <p>EXAMPLES:<br/>           Consulting fees to develop program goals and objectives, assessment tools, curriculum.</p>   | <ul style="list-style-type: none"> <li>• Scope of services/deliverables and/or expectation of outcomes.</li> </ul>  | Yes      | Yes            |
| <p><b>Instructional Support</b><br/>           Stipend for providing student Expanded Learning Time (ELT).</p>   | <ul style="list-style-type: none"> <li>• Cost may not exceed \$25.00 per hour</li> </ul>  | No       | Yes            |
| <p><b>Outreach and Recruitment</b><br/>           Services to educate the community about the charter school mission, program, contacts, registration process, lottery, performance outcomes and to recruit leadership, instructional and professional personnel.</p>  | <ul style="list-style-type: none"> <li>• Must provide outreach plan.</li> <li>• Consultant (outreach professional, web designer, etc.) costs must be accompanied by documentation including scope of services/deliverables or expectation of outcomes.</li> </ul>   | Yes      | Yes            |
| Supplies and Materials   |   |          |                |
| Purpose/Description/Examples   | Acceptable Justification and Notes  | Planning | Implementation |
| <p><b>Classroom-level Consumable Supplies</b><br/>           Student workbooks, testing instruments, expendable items which are consumed as they are used. May include items with a reasonable life expectancy of less than a year.</p> <p>EXAMPLES:<br/>           Workbooks, testing materials, paper, pencils, toner. Student headphones, non-scientific/basic calculators.</p> | <ul style="list-style-type: none"> <li>• Can be grouped into single line item with attached sample list.</li> <li>• NOTE: supplies or materials beyond reasonable start-up costs may be considered recurring expenses and may be unallowable.</li> </ul>  | No       | Yes            |
| <p><b>Textbooks &amp; Curriculum</b><br/>           Textbooks and curriculum can include textbook binding.</p> <p>EXAMPLES:<br/>           Textbooks, supplemental instructional aids, curriculum packages.</p>  | <ul style="list-style-type: none"> <li>• For packages (bundles, kits, etc.), attach example product specifications which must document quantities of items included.</li> <li>• May include electronic media (e-books).</li> <li>• If electronic media takes the form of annual subscription/renewable license, renewals are not allowable.</li> <li>• May include workbooks.</li> </ul>  | No       | Yes            |

| Supplies and Materials (cont.)  |  |          |                |
|---|--|----------|----------------|
| Purpose/Description/Examples  | Acceptable Justification and Notes   | Planning | Implementation |
| <p><b>School Library/Media Center or Classroom Library Books</b><br/>           Books for use in centralized school library/media center or individual classroom libraries. May be used as non-circulating reference or for student and teacher checkout.</p> <p>EXAMPLES:<br/>           Encyclopedia sets, fiction and non-fiction books, novels, book series, book sets.</p>   | <ul style="list-style-type: none"> <li>• May include electronic media (e-books).</li> <li>• If electronic media takes the form of annual subscription/renewable license, renewals are not allowable.</li> </ul>  | No       | Yes            |
| Technology and Equipment  |  |          |                |
| Purpose/Description/Examples  | Acceptable Justification and Notes   | Planning | Implementation |
| <p><b>Instructional Computer Hardware</b><br/>           Electronic devices capable of reading, processing and executing software programs. Includes peripherals and expansions.</p> <p>EXAMPLES:<br/>           Laptops, desktops, tablets, servers, wireless access points, charging carts, classroom-level printers.</p>   | <ul style="list-style-type: none"> <li>• High priced or unusual hardware: attach product specifications for example item.</li> <li>• Costs may not include monthly service fees.</li> </ul>  | No       | Yes            |
| <p><b>Instructional Computer Software</b><br/>           Instructional software/programs. May be delivered online or via tangible device (disc). Applies to purchased or rented items.</p> <p>EXAMPLES:<br/>           Supplemental literacy programs, virtual instruction systems, Expanded Learning Time (ELT) programs.</p>  | <ul style="list-style-type: none"> <li>• For all software, provide product specifications which describe the scope of the services to be delivered by the program.</li> <li>• Must include duration of subscription/license (if applicable).</li> <li>• May include electronic textbooks (eBooks).</li> <li>• Renewals are not allowable.</li> </ul> | No       | Yes            |
| <p><b>Instructional Equipment</b><br/>           Non-computer hardware for instructional use. Durable goods with a reasonable life expectancy of over a year. May also include durable instructional equipment for special classes.</p> <p>EXAMPLES:<br/>           Projectors, screens, document cameras, audio amplification, DVD players.<br/>           Special classes: teaching clocks, microscopes, musical instruments, physical education equipment.</p> | <ul style="list-style-type: none"> <li>• High priced or unusual equipment: attach product specifications for example item.</li> <li>• Special Classes: attach course listing which demonstrates specific class is part of daily curriculum.</li> </ul>   | No       | Yes            |

| Technology and Equipment (cont.)  |   |          |                |
|---|---|----------|----------------|
| Purpose/Description/Examples  | Acceptable Justification and Notes  | Planning | Implementation |
| <p><b>Classroom Furniture</b><br/>           Furniture and fixtures for classroom use.</p> <p>EXAMPLES:<br/>           Desks, chairs, tables, bookshelves.</p>  | <ul style="list-style-type: none"> <li>High priced or unusual furnishings: attach product specifications and/or itemized list of furniture within the subgrant application.</li> </ul>  | No       | Yes            |
| <p><b>Computer Lab Equipment</b><br/>           Non-computer hardware for dedicated computer lab use. Durable goods with a reasonable life expectancy of over a year.</p> <p>EXAMPLES:<br/>           Document cameras, projectors, audio amplification.</p>  | <ul style="list-style-type: none"> <li>High priced or unusual equipment: attach product specifications within the subgrant application.</li> </ul>  | No       | Yes            |
| <p><b>Computer Lab Software</b><br/>           Dedicated computer lab software/programs. May be delivered online or via tangible device (disc). Applies to purchased or rented items.</p> <p>EXAMPLES:<br/>           Computer science program, office software suite, graphics software, publishing software, internet tools.</p>                            | <ul style="list-style-type: none"> <li>For all software, provide product specifications which describe the scope of the services to be delivered by the program.</li> <li>Must include duration of subscription/license (if applicable).</li> <li>Renewals are not allowable.</li> </ul>                      | No       | Yes            |
| <p><b>Computer Lab Furniture</b><br/>           Furniture and fixtures for dedicated computer lab use.</p> <p>EXAMPLES:<br/>           Desks, chairs, tables, workstations.</p>   | <ul style="list-style-type: none"> <li>High priced or unusual furnishings: attach product specifications and/or itemized list of furniture within the subgrant application</li> </ul>   | No       | Yes            |
| <p><b>Administrative Computer Hardware</b><br/>           Electronic devices capable of reading, processing and executing software programs. Includes peripherals and expansions.</p> <p>EXAMPLES:<br/>           Front desk desktop, central printer, central copier, visitor registration hardware, inventory hardware, principal computer and printer.</p> | <ul style="list-style-type: none"> <li>High priced or unusual hardware: attach product specifications within the subgrant application.</li> <li>ONE computer and ONE printer may be purchased for the principal/director use during Planning.</li> <li>Costs may not include monthly service fees.</li> </ul> | Yes      | Yes            |
| <p><b>Administrative Computer Software</b><br/>           Administrative software/programs. May be delivered online or via tangible device (disc). Applies to purchased or rented items.</p> <p>EXAMPLES:<br/>           Inventory software, visitor registration software, office suite licenses for front desk and administrative staff.</p>                | <ul style="list-style-type: none"> <li>For all software, provide product specifications which describe the scope of the services to be delivered by the program.</li> <li>Must include duration of subscription/license (if applicable).</li> <li>Renewals are not allowable.</li> </ul>                      | Yes      | Yes            |

| Technology and Equipment (cont.)   |   |          |                |
|--|---|----------|----------------|
| Purpose/Description/Examples   | Acceptable Justification and Notes  | Planning | Implementation |
| <p><b>Administrative Furniture</b><br/>           Front office furniture, fixtures and equipment.</p> <p>EXAMPLES:<br/>           Desks, chairs, tables, fireproof filing cabinets.</p>  | <ul style="list-style-type: none"> <li>High priced or unusual furnishings: attach product specifications and/or itemized list of furniture within the subgrant application</li> </ul>   | No       | Yes            |
| <p><b>School Library/Media Center Technology</b><br/>           Electronic devices capable of reading, processing and executing software programs. Includes peripherals and expansions.</p> <p>EXAMPLES:<br/>           Desktops, circulation/check-out hardware.</p>  | <ul style="list-style-type: none"> <li>High priced or unusual hardware: attach product specifications within the subgrant application</li> <li>Costs may not include monthly service fees.</li> </ul>   | No       | Yes            |
| <p><b>School Library/Media Center Software</b><br/>           Centralized library/media center software/programs. May be delivered online or via tangible device (disc). Applies to purchased or rented items.</p> <p>EXAMPLES:<br/>           Circulation software, digital collections management.</p>                               | <ul style="list-style-type: none"> <li>For all software, provide product specifications which describe the scope of the services to be delivered by the program.</li> <li>Must include duration of subscription/license (if applicable).</li> <li>Renewals are not allowable.</li> </ul>  | No       | Yes            |
| <p><b>School Library/Media Center Equipment</b><br/>           Non-computer hardware for centralized school library/media center use. Durable goods with a reasonable life expectancy of over a year.</p> <p>EXAMPLES:<br/>           DVD players, listening stations, paper cutters, label makers, binding equipment, book carts.</p> | <ul style="list-style-type: none"> <li>High priced or unusual furnishings: attach product specifications within the subgrant application</li> </ul>   | No       | Yes            |
| <p><b>School Library/Media Center Furniture</b><br/>           Furniture and fixtures for centralized school library/media center use.</p> <p>EXAMPLES:<br/>           Desks, chairs, tables, bookshelves, book return, circulation desk, dictionary stands, book displays, podiums.</p>   | <ul style="list-style-type: none"> <li>High priced or unusual furnishings: attach product specifications and/or itemized list of furniture within the subgrant application</li> </ul>   | No       | Yes            |
| <p><b>Playground Structures and Equipment*</b></p> <p>EXAMPLES:<br/>           Playscapes, tetherball sets, swing sets, portable basketball hoops.</p> <p>*NOTE: CSP Non-Regulatory Assurances must be met prior to approval of budget request.</p>  | <ul style="list-style-type: none"> <li>Playground Structures and Equipment are ONLY allowed if campus has a Pre-K grade level.</li> <li>Must include product specifications and/or itemized list of playground structure or equipment within the subgrant application. Please include pictures of structure.</li> <li>Equipment must be a part of daily student curriculum.</li> <li>Cannot be permanently affixed to the building/facilities.</li> </ul> | No       | Yes            |

|   | <ul style="list-style-type: none"> <li>• Ground cover, enclosures (fencing, landscape border) are not allowable.</li> <li>• Capitalized improvements are not allowable.</li> <li>• Costs associated with construction activities (engaging an architect, engineer, landscape architect) are not allowable.</li> </ul>   |                    |                    |
|---|---|--------------------|--------------------|
| Travel, Conferences, and Meetings   |   |                    |                    |
| Purpose/Description/Examples  | Acceptable Justification and Notes  | Planning           | Implementation     |
| <p><b>Travel</b><br/>           Travel costs for school leaders, staff, and board to attend conferences and training.</p> <p>EXAMPLES:<br/>           Training and professional development, site visits to other charter schools.</p>  | <ul style="list-style-type: none"> <li>• Must provide scope of services/deliverables, and/or expectation of outcomes for training.</li> <li>• Must include dates and duration, number of staff to receive training.</li> <li>• Additional justification may be requested for out-of-state travel or extraordinary costs.</li> <li>• Travel costs must comply with the applicable fiscal year <a href="#">per diem rates for North Carolina</a> as outlined by the US General Services Administration.</li> </ul>  | No                 | Yes                |
| Other   |   |                    |                    |
| Purpose/Description/Examples  | Acceptable Justification and Notes  | Planning           | Implementation     |
| <p><b>Outreach and Recruitment</b></p> <p>Informational materials and intangible items to educate the community about the charter school mission, program, contacts, registration process, lottery, performance outcomes and to recruit leadership, instructional and professional personnel.</p> <p>EXAMPLES:<br/>           Design and printing of brochures and postcards, radio spots, exterior school signage, television ads, website design, newspaper ads, outreach consultant, and postage for promotional mailing at non-profit rate to promote new school program.</p> | <ul style="list-style-type: none"> <li>• Must provide outreach plan.</li> <li>• All outreach materials must include registration information and state that the school is a tuition- free public charter school.</li> <li>• Materials must be specific to school.</li> <li>• NC ACCESS Program office may require pre-product proof to verify compliance.</li> <li>• Promotional items are not allowable.</li> <li>• School signage may not comprise a capital improvement (i.e. cannot be permanent).</li> <li>• Materials must be fully distributed during the grant period.</li> <li>• If outreach consultant is hired, make sure to include their salary under professional fees and contracted service.</li> </ul> | Yes                | Yes                |
| <p><b>Facility Rent</b><br/>           Mortgage, lease, or rent payment for school facility.</p>  | <ul style="list-style-type: none"> <li>• School lease must include effective dates, rent, and facility address.</li> <li>• Cost allowable ONLY up to 3 months prior to school opening date.</li> </ul>  | Yes                | No                 |
| <p><b>Insurance</b><br/>           Insurance is a one-time prepaid service fee for up to one year.</p> <p>EXAMPLES:<br/>           Property, officers and director’s liability, commercial liability, employee liability.</p>   | <ul style="list-style-type: none"> <li>• Must provide effective date which is no earlier than 3 months prior to school opening date.</li> <li>• Cost allowable one-time ONLY during Planning <b>OR</b> Implementation (not allowable in both phases).</li> </ul>  | Yes/No (see notes) | Yes/No (see notes) |

|  |   |            |            |
|--|---|------------|------------|
| <p><b>Miscellaneous General Administration</b><br/>Indirect Costs.</p> | <ul style="list-style-type: none"> <li>Any school requesting indirect costs must have an approved documentation on-file with the NC ACCESS Program office.</li> <li>NC ACCESS Program office will verify percentage.</li> </ul> | <p>Yes</p> | <p>Yes</p> |
|--|---|------------|------------|

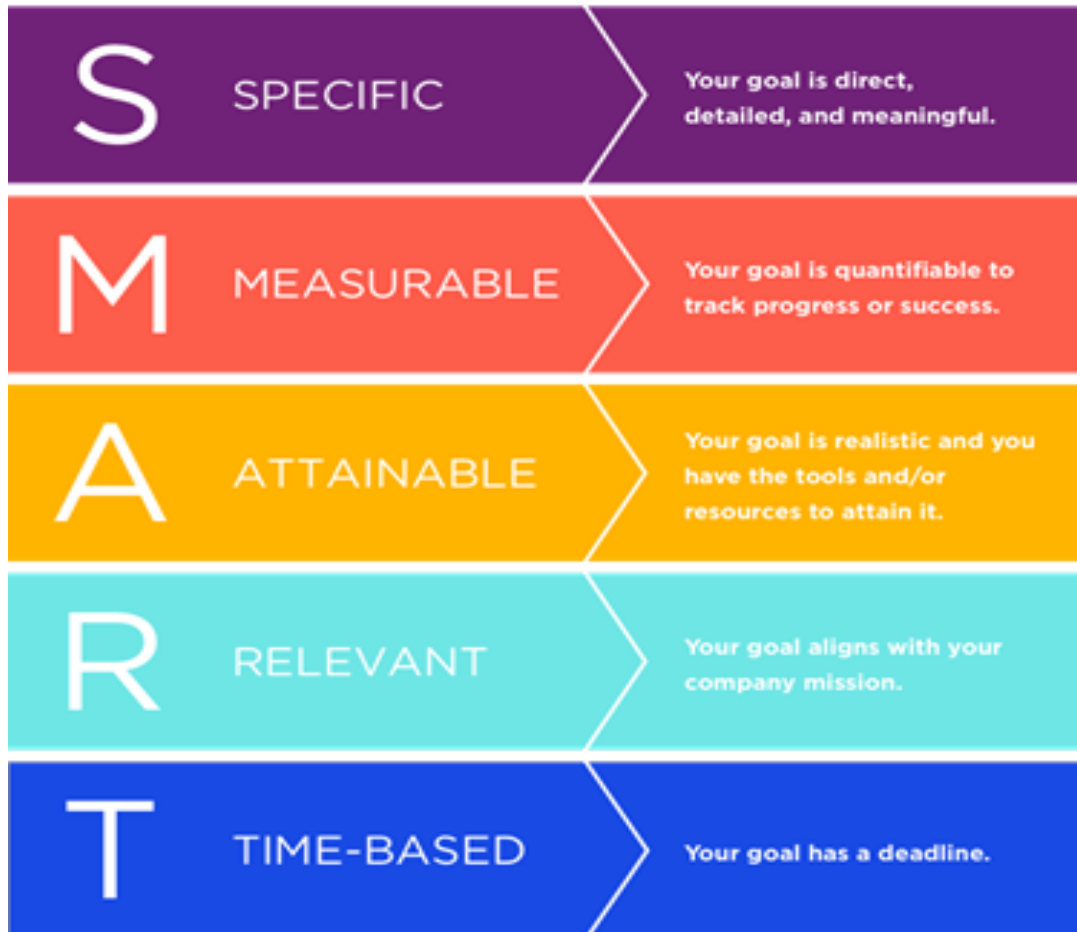
| Category             | Unallowable Costs within the CSP Grant and Other Conditions Impacting Allowability   |
|----------------------|--|
| Activities           | <ul style="list-style-type: none"> <li>• Field trips</li> <li>• Extracurricular activities, programs, etc.</li> <li>• Athletic (team/afterschool) equipment</li> </ul>   |
| Apparel              | <ul style="list-style-type: none"> <li>• Student or staff uniforms</li> <li>• Athletic &amp; extracurricular uniforms and costumes</li> </ul>  |
| Capital Improvements | <ul style="list-style-type: none"> <li>• Addition of permanent structural improvement or restoration of some aspect of a property that will either enhance the property's overall value or increase its useful life</li> </ul>   |
| Construction         | <ul style="list-style-type: none"> <li>• Construction of new facility</li> <li>• Construction on existing facility</li> <li>• Building renovations, refurbishments, and restoration</li> <li>• Activities for which an architect and/or engineer must be utilized</li> </ul>   |
| Supplies             | <ul style="list-style-type: none"> <li>• Cleaning supplies</li> <li>• Cafeteria/food service supplies</li> </ul>   |
| Food                 | <ul style="list-style-type: none"> <li>• Food or beverages</li> <li>• Equipment and supplies used exclusively for the service of food/beverages (cafeteria equipment)</li> </ul>   |
| Incentives           | <ul style="list-style-type: none"> <li>• Gift certificates</li> <li>• Food</li> <li>• Alcoholic beverages</li> <li>• Awards and gifts</li> </ul>   |
| Lobbying             | <ul style="list-style-type: none"> <li>• Lobbying or related expenses</li> </ul>   |
| Promotional items    | <ul style="list-style-type: none"> <li>• Promotional materials (often imprinted), such as pencils, pens, balloons and notepads               <ul style="list-style-type: none"> <li>○ <b>PROMOTIONAL ITEMS ARE NOT ALLOWABLE UNDER ANY CATEGORY, INCLUDING OUTREACH AND RECRUITMENT</b></li> </ul> </li> </ul>   |
| Professional Fees    | <ul style="list-style-type: none"> <li>• Accounting, auditing and legal fees not related to organizational start-up and planning</li> </ul>  |
| Recruitment          | <ul style="list-style-type: none"> <li>• Placement fees (employment advertising is allowable)</li> </ul>   |
| Recurring Expenses   | <ul style="list-style-type: none"> <li>• Rent/leases on or after first day of school</li> <li>• Operating expenses and utilities, equipment leases, monthly and annual contracts</li> <li>• Recurrent/repeated professional development and training</li> <li>• Software license renewals</li> <li>• Fees such as monthly insurance and payroll services, management company fees, service contracts, trash disposal, gas/electric/phone/water/utilities, cell phones, etc.</li> </ul> |
| Renovations          | <ul style="list-style-type: none"> <li>• Structural (roofing, wall repair, electrical wiring/rewiring)</li> <li>• Room additions or fixed partitions</li> <li>• Security (fences, alarms, cameras)</li> <li>• Painting</li> <li>• Carpeting</li> <li>• Landscaping</li> </ul>  |
| Salaries             | <ul style="list-style-type: none"> <li>• No salaries or related fringe benefits after the school opens</li> </ul>  |
| Student              | <ul style="list-style-type: none"> <li>• Student membership fees</li> <li>• Student conferences</li> </ul>   |
| Technology           | <ul style="list-style-type: none"> <li>• No electrical installation or modification to room dividers or existing walls, floors, ceilings, or structural elements.</li> <li>• Installation of computer network cabling</li> </ul>   |
| Travel               | <ul style="list-style-type: none"> <li>• Travel costs must comply with the applicable fiscal year <a href="#">per diem rates for North Carolina</a> as outlined by the US General Services Administration.</li> </ul>  |



## Appendix B SMART Goals

### What are Smart Goals?

In the application, you are asked to provide smart goals. Here are some tips and hints for developing appropriate SMART goals.



SMART is an acronym that you can use to guide your goal setting. To make sure your goals are clear and reachable, each one should be:

**Specific (simple, sensible, significant).**

Your goal should be clear and specific, otherwise you won't be able to focus your efforts or feel truly motivated to achieve it. When drafting your goal, try to answer the five "W" questions: **What** do I want to accomplish? **Why** is this goal important? **Who** is involved? **Where** is it located? **Which** resources or limits are involved?

**Measurable (meaningful, motivating).**

It's important to have measurable goals, so that you can track your progress and stay motivated. Assessing progress helps you to stay focused, meet your deadlines, and feel the excitement of getting closer to achieving your goal. A measurable goal should address questions such as: How much? How many? How will I know when it is accomplished?

**Achievable (agreed, attainable).**

Your goal also needs to be realistic and attainable to be successful. In other words, it should stretch your abilities but still remain possible. When you set an achievable goal, you may be able to identify previously overlooked opportunities or resources that can bring you closer to it.

An achievable goal will usually answer questions such as: How can I accomplish this goal? How realistic is the goal, based on other constraints, such as financial factors?

**Relevant (reasonable, realistic and resourced, results-based).**

This step is about ensuring that your goal matters to you, and that it also aligns with other relevant goals. We all need support and assistance in achieving our goals, but it's important to retain control over them. So, make sure that your plans drive everyone forward, but that you're still responsible for achieving your own goal. A relevant goal can answer "yes" to these questions: Does this seem worthwhile? Is this the right time? Does this match our other efforts/needs? Am I the right person to reach this goal? Is it applicable in the current socio-economic environment?

**Time bound (time-based, time limited, time/cost limited, timely, time-sensitive).**

Every goal needs a target date, so that you have a deadline to focus on and something to work toward. This part of the SMART goal criteria helps to prevent everyday tasks from taking priority over your longer-term goals. A time-bound goal will usually answer these questions:

When? What can I do six months from now? What can I do six weeks from now? What can I do today?

**Examples:**

By June 2016, at least 50 percent of classroom walkthrough observations will indicate teachers are using co-teaching methods other than one teach/one assist.

By the end of the 2010-2011 school year, suspensions/office referrals reported for all students in the 4<sup>th</sup>, 6<sup>th</sup>, and 9<sup>th</sup> grade and SWD (Students with disabilities) in all grades will be reduced by 50% from 2006-2007 EMIS data.

By Spring of 2015, students at XXX Charter School will consistently demonstrate behaviors that reflect a Respectful, Responsible, and Safe School Climate as assessed by a variety of measurement tools such as positive referrals, discipline and attendance records, and surveys. The desired outcome is a 10% reduction in discipline referrals and student suspensions, a decline in tardy rates, decrease in student bullying behaviors, and an increase in student attendance and school connectedness.

By June 2015, XXX Charter School will see continuous growth from students and movement from level 1 to level 2, level 2 to level 3, level 3 to level 4 as indicated on school wide reading assessments (CBA, I.M.S. data-K-2 Reading Portfolio, DRA, STAR, BRI grades 4, 5, and utilize our Title I Rubric) given three to four times per year.

By the June 2018, parent positive responses on the 2016 Climate Survey will improve from 90% to 95% positive responses on the 2017 Climate Survey. Student positive responses on the 2016 Climate Survey will improve from 80% to 85% positive responses on the 2017 Climate Survey. Staff positive responses on the 2016 Climate Survey will improve from 92% to 96% positive responses on the 2017 Climate Survey.

By June 2020, XYZ Charter School will meet the goal of recruiting and enrolling 20% (125 students) economically disadvantaged students in grades K-12.

## Appendix C

### Logic Model

In the application, you are asked to provide a Logic Model. Here are some helpful tips and hints for developing an appropriate Logic Model. The NC ACCESS Logic Model template is provided with the application.

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#### DEFINITION OF A LOGIC MODEL

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A logic model is a systematic and visual way to present and share your understanding of the relationships among the resources you have to operate your program, the activities you plan, and the changes or results you hope to achieve.” (W.K. Kellogg Foundation 2004) Logic models are rooted within theories of change and use words and/or pictures to describe the sequence of activities thought to bring about change and how these activities are linked to the results the program is expected to achieve.

**The logic model helps you through the process of thinking through change:**

- Identifying the problem(s) (What is the school need(s)?)
- Naming the desired results (What is the vision for the future?)
- Developing the strategy for achieving the goal(s) (How can the vision be achieved?)

**A logic model is a relatively simple image that reflects how and why a program will work.**

- Logic models are useful to program administrators who are trying to implement changes in their program.
- Creating logic models in a group (school team) brings the power of consensus and group examination of values and beliefs about change processes and program results.
- Logic models are actionable plans, strategies or maps with clear outcomes and explicit steps for solving program problems.
- Logic models are short, often only one page
- Logic models take different forms, and no two are identical
- Logic models should explain the goals and practices of an organization clearly and simply.

#### **Purpose of a Logic Model**

A logic model is a top-level depiction the flow of materials and processes to produce the results desired by the organization or program. The model can be very useful to organize planning and analysis when designing the organization and its programs or when designing outcomes-based evaluations of programs. It can also be useful for describing organizations and programs (for example, in grant proposals).

#### **What to Include and What Not to Include**

Logic models can be regarding whatever application in which the designer chooses to use them. However, when using logic models to analyze or describe organizations and programs, it's often best to use logic models to depict major, recurring items in the organization or programs -- rather than one-time items. For example, you might not choose to do a logic model for the one-time, initial activities to build an organization or program (constructing the building, registering with state and federal authorities, etc.). However, you might benefit more from using logic models to analyze and describe the major, recurring activities that occur in the organization or program (once they're built) to continue to produce the results desired for clients and the community.

## **Size and Level of Detail**

The logic model should be of a size that readers can easily study the model without extensive reference and cross-comparisons between pages. Ideally, the logic model is one or at most two pages long. The level of detail should be sufficient for the reader to grasp the major items that go into an organization or program, what occurs to those inputs, the various outputs that results and the overall benefits/impacts (or outcomes) that occur and to which groups of people. \*Note the content of program logic models is often more specific than models for organizations. This level of specificity is often quite useful for program planners.

## **Definitions of Basic Terms**

Logic models typically depict the inputs, processes, outputs and outcomes associated with an organization and its programs. Don't be concerned about your grasping the "correct" definition of each of the following terms. It's more important to have some sense of what they mean -- and even more important to be consistent in your use of the terms.

### **Inputs**

These are materials that the organization or program takes in and then processes to produce the results desired by the organization. Types of inputs are people, money, equipment, facilities, supplies, people's ideas, people's time, etc. Inputs can also be major forces that influence the organization or programs. For example, the inputs to a nonprofit program that provides training to clients might include learners, training materials, teachers, classrooms, funding, paper and pencils, etc. Various laws and regulations effect how the program is conducted, for example, safety regulations, Equal Opportunity Employment guidelines, etc. Inputs are often associated with a cost to obtain and use the item -- budgets are listings of inputs and the costs to obtain and/or use them.

### **Processes (or Activities or Strategies or Methods)**

Processes are used by the organization or program to manipulate and arrange items to produce the results desired by the organization or program. Processes can range from putting a piece of paper on a desk to manufacturing a space shuttle. However, logic models are usually only concerned with the major recurring processes associated with producing the results desired by the organization or program. For example, the major processes used by a nonprofit program that provides training to clients might include recruitment of learners, pretesting of learners, training, post-testing and certification.

### **Outputs**

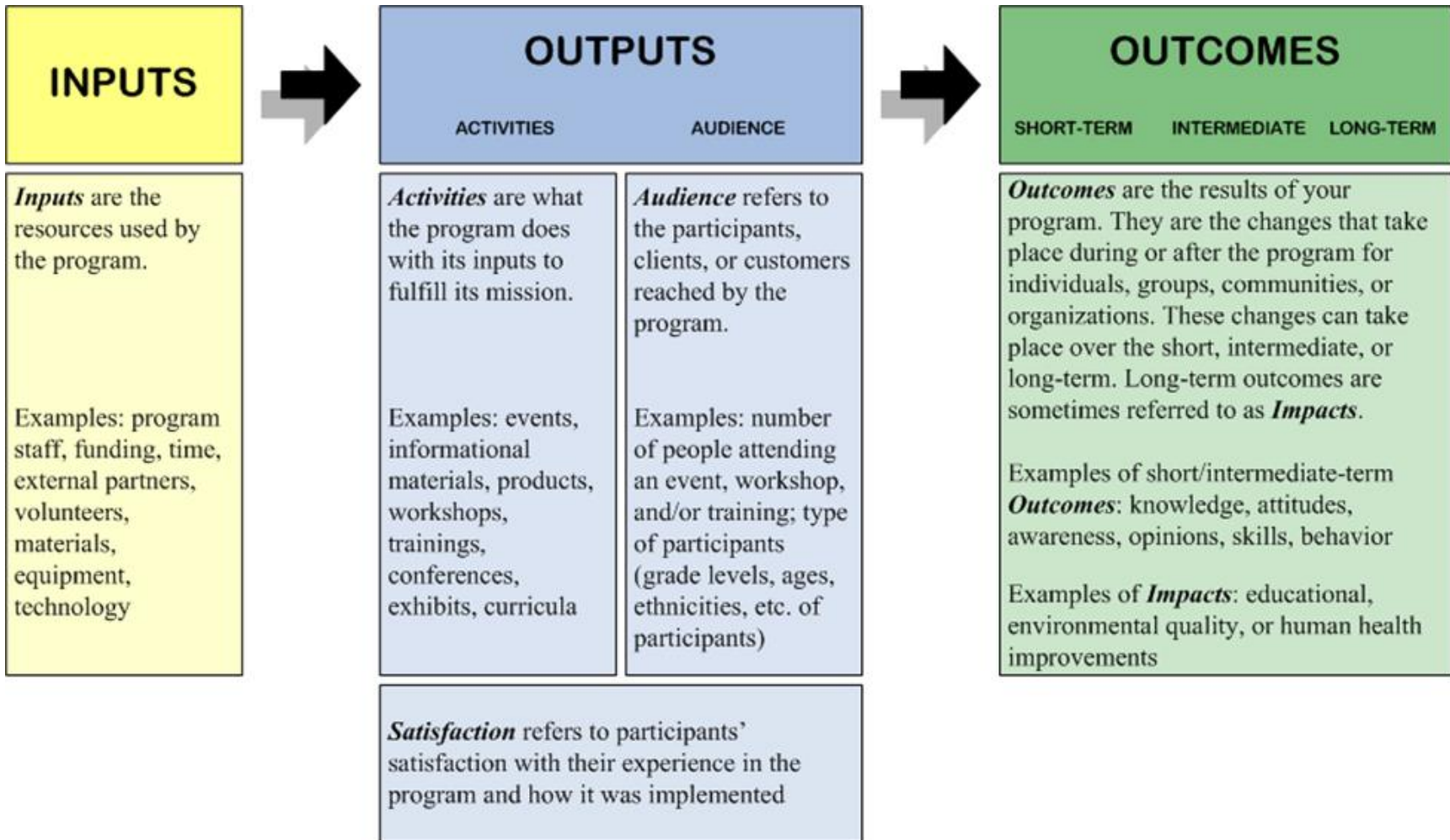
Outputs are usually the tangible results of the major processes in the organization. They are usually accounted for by their number, for example, the number of students who failed or passed a test, courses taught, tests taken, teachers used, etc. Outputs are frequently misunderstood to indicate success of an organization or program. However, if the outputs aren't directly associated with achieving the benefits desired for clients, then the outputs are poor indicators of the success of the organization and its programs. You can use many teachers, but that won't mean that many clients were successfully trained.

### **Outcomes**

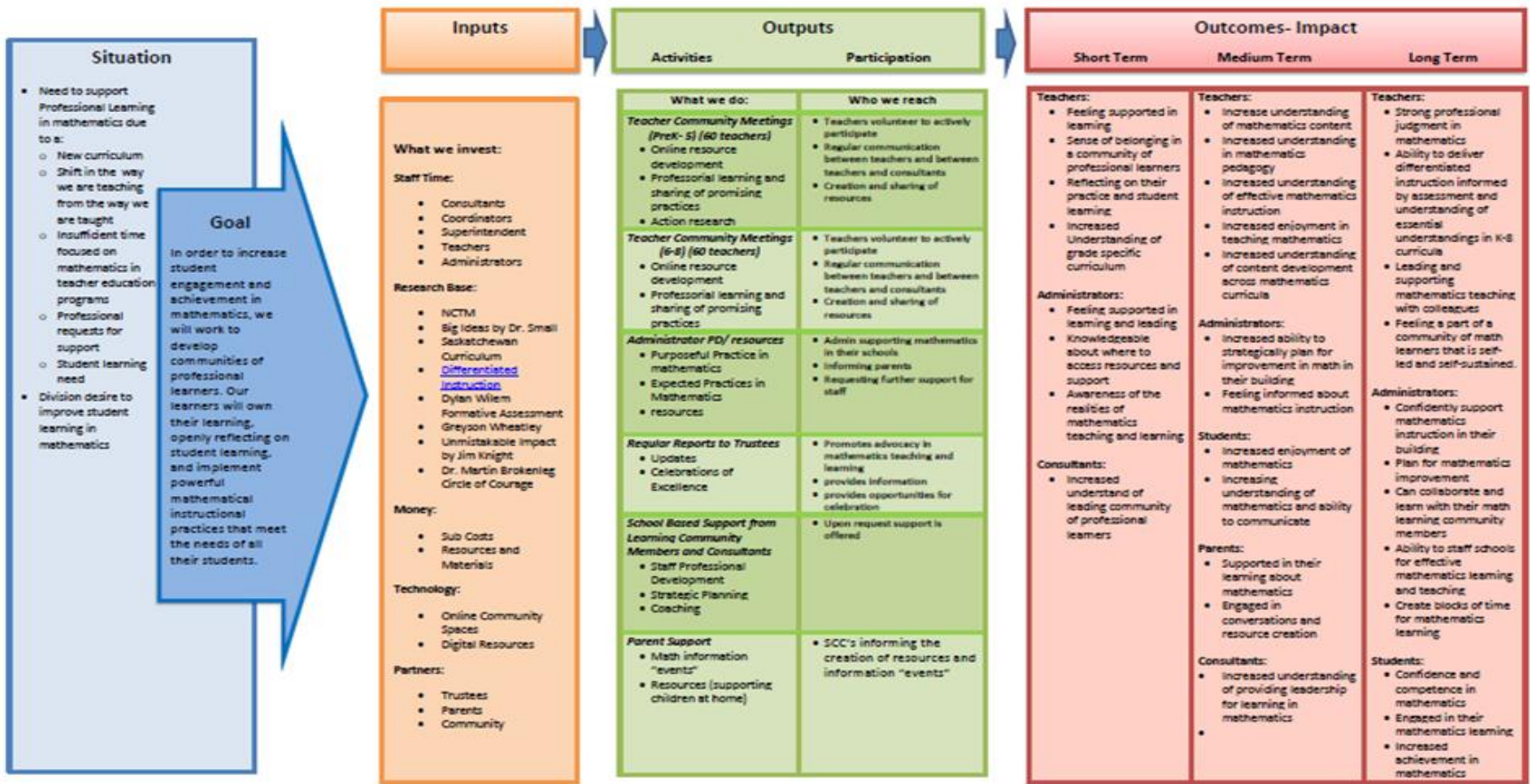
Outcomes are the (hopefully positive) impacts on those people whom the organization wanted to benefit with its programs. Outcomes are usually specified in terms of:

- a) learning, including enhancements to knowledge, understanding/perceptions/attitudes, and behaviors
- b) skills (behaviors to accomplish results, or capabilities)
- c) conditions (increased security, stability, pride, etc.)

Sample Logic Model Designs



**PreK- Grade 8 Mathematics Learning**



## Appendix D Intentional and Targeted Marketing and Recruitment

**As you begin to prepare your subgrant application, there are a few areas of the application that the evaluators will look closely at. Here are some helpful hints to help you fully develop a recruitment and marketing plan that will ensure you meet your projected enrollment goals.**

Why would parents choose to send their children to your school? What marketing strategies do you have in place to recruit educationally or economically disadvantaged students? Many schools rely on traditional marketing media such as television, local newspapers, and radio advertisements. Yet those means are no longer the most effective way to recruit students. Your future clientele is savvier these days. As public schools of choice, charter schools need to implement a school recruitment model that aims to recruit, enroll, serve, and maintain a diverse student body.

**As you begin to think about your recruitment and marketing plan, please feel free to utilize the information in the attached resource: INTENTIONALLY DIVERSE CHARTER SCHOOLS: A Toolkit for Charter School Leaders. Section III should provide useful information. The section is called: DESIGN PROCESSES TO RECRUIT AND ENROLL A DIVERSE STUDENT BODY.**

Intentionally diverse charter schools are more likely to employ strategies and processes that are designed to recruitment and enrollment a broad applicant pool in mind. To establish and maintain diversity, school leaders should:

- Understand the likely enrollment that would occur in the absence of targeted recruitment strategies;
- Know the specific recruitment strategies that will help increase interest among the students the charter school hopes to attract;
- Determine what is most important to a broader set of families. This knowledge will guide leaders to refine their outreach and recruitment strategies, including communication styles, outreach activities, and marketing; and
- Aim to recruit a student body with a diversity of needs—like English Learner students and students with disabilities—in addition to diversity of race, culture, home languages, and income levels.

**Some other questions to consider when thinking through recruitment, application, and enrollment challenges include:**

- ✓ Has the school communicated the application and enrollment processes widely and transparently?
- ✓ Has the school implemented a transparent, legal, and fair application process?
- ✓ Has the school been transparent about what kind of lottery the school will hold if it receives more applications than its capacity for each grade level?
- ✓ Has the school adequately reached out to underserved communities and families that lack traditional networks?
- ✓ **Has the school made marketing efforts in the community through?**
  - Direct mailing of school brochures;
  - Creating marketing materials in multiple languages;
  - Door-to-door informational campaigns;
  - Informational sessions in community organizations;
  - Hosting school tours (for operating schools)?

- ✓ **Is the application form widely accessible?**
  - Is the application form available in multiple languages and in large print?
  - Is the application form offered along with translators to help non-English speaking families?
  - Is the application form available in hard copy for parents who do not have access to the internet?
  - Is the application form available in locations besides the school building?
  - Is the application form requesting information that could deter undocumented families (e.g., social security numbers) or homeless families (e.g., permanent address)?
- ✓ **Are there any school practices or policies that could deter families from applying?**
  - If uniforms are mandatory, are there stipends or scholarships to provide free or reduced-price uniforms?
  - Is parent participation overly burdensome? Would parents who work multiple jobs or non-traditional hours still be able to meet these requirements?
  - Is there a lack of services that could prevent families from applying?
  - Does the school or local district provide or facilitate transportation options?
  - Does the school participate in the National School Lunch Program or provide other low-cost breakfast and lunch options?



## Appendix E

### Guidance on Tutoring and Additional Learning Opportunities

1. Schools can use subgrant funds to pay teachers through a contract. They cannot be paid through payroll. New applicants should submit in their appendices a draft (or real) contract that outlines how the tutoring services provided are outside the scope of a teacher's defined teaching role. Also, this must be a voluntary service, not a requirement of teachers.
2. These services need to be in addition to the basic academic program. For example, schools could not pay a contractor to "tutor" math from 8am-4pm and have that person essentially act as a math teacher.
3. Schools should be able to justify why contracting with their teachers is necessary and how their skills and experience are better suited to provide the services as opposed to an outside provider.
4. The application would have to describe how the tutoring program itself would be an allowable "start-up" cost. Essentially, what I mean by that is how is the program:
  - a. Directly related to the academic plan and/or mission of the school;
  - b. Is in the "start-up" phase (i.e. Either as a "pilot" or newly implemented program that cannot be covered by current revenues and will eventually become sustainable beyond the grant expiration with enrollment growth); and
  - c. The programs should be described, designated, and integrated as wrap-around or additional support services; rather than before- or after-school programs.
5. Contracts for tutoring services cannot pay more than \$25.00 per hour.

### **While there are many research and evidence-based programs out there, here are just a couple of examples of how to integrate additional learning and support services.**

While CSP funds are generally unallowable for explicit before- and after-school activities, it could be called, for example, Expanded Learning Time. **Expanded Learning Time (ELT)** or **Expanded Learning Opportunities (ELO)**. They are strategies employed by schools to redesign their school days and school year in order to provide students, with substantially more and better learning time. ELT/ELO are often a core elements of school practices for teachers to provide [data-driven instruction](#), and integrated enrichment to students. ELT differs from associated efforts like after-school programs or expanded learning opportunities (ELOs) because ELT requires all students in a given school to attend the longer day and/or year, and the additional time becomes a dependent component of the school's educational practices and objectives.

Both research and practice indicate that adding time to the school schedule can have a meaningfully positive impact on student achievement. Many researchers have studied the impact of time on learning and their research underscores a central point: that while more time in schools is valuable, time is a resource that must be used well to realize its full potential.

Where to go for research-and evidence-based program examples:

[The National Center on Time & Learning](#) has conducted research in high-performing expanded-time schools to better understand how time can be used in ways that promote strong student achievement. In its publication, *Time Well Spent*, NCTL identifies eight categories of practices: (a) making every minute count, (b) prioritizing time, (c) individualizing learning time, (d) building school culture, (e) incorporating a well-rounded education, (f) integrating program elements that focus on college and career success, (g) enabling productive teacher collaboration, and (h) assessing, analyzing and responding to data. Authors describe "dynamic synergies" among these practices that together help to ensure a productive use of school time.

## Appendix F

### Guidance on the use of funds to support Preschool Education

#### Introduction

The United States Department of Education's (Department's) Office of Innovation and Improvement issues this nonregulatory guidance to provide Charter Schools Program (CSP) grantees with information regarding the circumstances under which CSP funds may be used "for grants that support preschool education in charter schools," under new authority in the Consolidated Appropriations Act, 2014 (2014 Act). See Division H, Title III of the 2014 Act (Pub. L. No. 113-76, 128 Stat. 5, 393) at <http://www.gpo.gov/fdsys/pkg/PLAW-113publ76/pdf/PLAW-113publ76.pdf>. The CSP is authorized under title V, part B, subpart 1 of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 7221-7221j).

The Frequently Asked Questions (FAQs) below represent the Department's current thinking on this topic. They do not create or confer any rights for or on any person. This guidance does not impose any requirements beyond those required under applicable law and regulations. For nonregulatory guidance related to the CSP generally, please see <http://www2.ed.gov/programs/charter/nonregulatory-guidance.html>.

If you are interested in commenting on this guidance, please email us your comments at [charterschools@ed.gov](mailto:charterschools@ed.gov) or write to us at the following address: Charter Schools Program, U.S. Department of Education, 400 Maryland Avenue, SW, Room 4W226, Washington, DC 20202-5970.

#### FAQs

##### **1. To which fiscal year CSP funds does the new authority in the 2014 Act, which authorizes the use of CSP funds to support preschool education, apply?**

The language in the 2014 Act authorizing the use of CSP funds to support preschool education applies to CSP funds awarded for fiscal year (FY) 2014 and any carryover funds from prior fiscal years. CSP funds awarded for FY 2015 and subsequent years may be used to support preschool education in charter schools only if Congress authorizes the use of CSP funds for that purpose for those years.

##### **2. Under what circumstances may CSP grant or subgrant funds be used to support preschool education in a charter school?**

In a State in which preschool education is part of elementary education under State law, CSP funds may be used to support preschool education in charter schools (as defined in section 5210(1)) that provide elementary or secondary education beyond preschool, as well as in charter schools that provide only preschool education.

In a State in which preschool education is not part of elementary education under State law, CSP funds may be used to support preschool education so long as the preschool program is offered as part of a school that meets the definition of "charter school" in section 5210(1), including providing a program of elementary or secondary education, or both. In other words, CSP funds may be used to support preschool education only if the school offers at least one elementary or secondary grade during the grant period. In such States, CSP funds may not be used to support preschool education in a charter school that provides **only** preschool education because such a charter school does not meet the ESEA definition of "charter school."

This nonregulatory guidance distinguishes between States that include preschool education as part of elementary education and States that do not include preschool education as part of elementary education because, under the definition of "charter school" in section 5210(1), a charter school must provide a program of elementary or

secondary education, or both. Under section 9101(18) of the ESEA, “elementary school” means a nonprofit institutional day or residential school, including a public elementary charter school, that provides elementary education, **as determined under State law**. (20 U.S.C. 7801(18) (*emphasis added*))

As a reminder, only charter schools that meet the definition of “charter school” in section 5210(1) of the ESEA are eligible to receive funds under the CSP. Under section 5210(1) of the ESEA, “charter school” means a public school that, among other things, does not charge tuition; is a school to which parents choose to send their children and admits students by lottery if more students apply for admission than can be accommodated; operates in accordance with State law; and has a written performance contract with an authorized public chartering agency in the State that includes a description of how student performance will be measured. (20 U.S.C. 7221i(1))

### **3. Are there specific requirements a preschool education program must meet in order to receive CSP funds?**

As stated in the Introduction to these FAQs, the 2014 Act authorizes the use of CSP funds to support preschool education in charter schools. Therefore, in order to receive CSP funds, the preschool education program must be part of a charter school (as defined in section 5210(1) of the ESEA). While the 2014 Act does not define “preschool education,” a major purpose of the CSP is to expand the number of high-quality charter schools available to students across the nation. Consistent with this purpose, the Department encourages grantees and subgrantees proposing to use CSP funds to support preschool education in charter schools to review the definition of “high-quality preschool program,” set forth in the Notice Inviting Applications for New Awards for Preschool Development Grants—Expansion Grants (NIA), published in the *Federal Register* on August 18, 2014 (79 FR 48874). See <https://www.federalregister.gov/articles/2014/08/18/2014-19427/applications-for-new-awards-preschool-development-grants-expansion-grants>.

While a preschool education program is not required to meet the definition of “high-quality preschool program” in order to receive CSP funds, the definition set forth in the NIA reflects the Department’s current thinking on what constitutes a high-quality preschool education program. For additional information related to Preschool Development Grants and the definition of “high-quality preschool program,” see Guidance and Frequently Asked Questions for Applicants under the Preschool Development Grants program at <http://www2.ed.gov/programs/preschooldevelopmentgrants/faqrevised10314.pdf>.

### **4. How may a current CSP grantee (for example, a State educational agency (SEA), non-SEA eligible applicant, charter management organization (CMO), or other not-for-profit entity) amend its approved grant application to use funds to support preschool education?**

An existing grantee may submit a request to the Department to amend its approved grant application to use CSP funds to support preschool education. Such requests are subject to approval by the Department and must include the following:

- (a) A description of the proposed preschool education program, including the proposed activities to be carried out, the estimated number of preschool students to be served under the program, how the proposed activities will affect the existing approved project, and any proposed changes to the existing approved grant application;
- (b) An explanation of how the proposed preschool education program would promote the purposes of the CSP and is within the scope and objectives of the approved project;
- (c) Evidence that State law defines “elementary education” to include preschool education or that the preschool education program will be carried out in a school that meets the definition of “charter school” in section 5210(1) of the ESEA;

- (d) A description of the SEA's or charter school's admissions policy, including when and how a lottery will be used if more students apply for admission than can be accommodated in preschool and in subsequent grades; and
- (e) For all grantees, except SEA grantees, a copy of the approved charter or charter petition authorizing the charter school to provide preschool education.

Please review FAQ #5 below for additional guidance regarding the information a SEA grantee must include when requesting approval from the Department to amend its approved grant application to use CSP funds to support preschool education in charter schools.

**5. What additional information must a current SEA grantee include in its request to the Department to amend its approved grant application to use CSP funds to support preschool education in charter schools?**

In addition to the elements listed in FAQ #4 above, a SEA grantee that submits a request to the Department to amend its approved grant application to use CSP funds to support preschool education in charter schools must include the following information in its request:

- (a) A description of how allowing charter schools in the State to use CSP funds to support preschool education would affect the State's subgrant application and peer review processes, including descriptions of any proposed modifications of those processes to account for applications proposing to use CSP funds to support preschool education in charter schools;
- (b) A description of the SEA's proposed process for reviewing and approving requests from existing subgrantees to amend their approved applications to allow them to use CSP funds to support preschool education in charter schools; and
- (c) A written assurance from the SEA that, prior to permitting any charter school subgrantee to use CSP funds to support preschool education in the charter school, the SEA will ensure that there is an approved charter or charter petition that authorizes the charter school to operate the preschool program.

Please review FAQ #6 below for examples of the types of information a SEA may require its subgrantees to include in any request to amend an approved subgrant application to permit the use of CSP funds to support preschool education in a charter school.

**6. May a current CSP subgrantee submit a request to its SEA to amend its approved subgrant application to use CSP funds to support preschool education in charter schools?**

Yes. An existing subgrantee may submit a request to its SEA to amend its approved subgrant application to enable it to use CSP funds to support preschool education in a charter school. In order to approve such a request, the SEA must have received approval from the Department to amend its approved CSP application to include preschool education. Subgrantees should contact the SEA for guidance regarding the process for submitting an amendment request to the SEA and the specific information that must be included in the request. The following are examples of the types of information a SEA may require its subgrantees to include in a request to amend an approved subgrant application to permit the use of CSP funds to support preschool education in a charter school:

- (a) A description of the proposed preschool education program, including the proposed activities to be carried out, the estimated number of preschool students to be served under the program, how the proposed activities will affect the existing approved project, and any proposed changes to the existing approved subgrant application;

- (b) An explanation of how the proposed preschool education program would promote the purposes of the CSP and is within the scope and objectives of the approved project;
- (c) A description of the school's admissions policies, including when and how a lottery will be used if more students apply for admission than can be accommodated in preschool and in subsequent grades; and
- (d) A copy of the approved or pending (that is, submitted to an authorized public chartering agency) charter authorizing the charter school to provide preschool education.

**7. Must a charter school's approved charter authorize the charter school to operate a preschool education program in order for CSP funds to be used to support preschool education in the charter school?**

Yes. A charter school that receives CSP grant or subgrant funds directly from the Department or indirectly through an eligible entity, such as a CMO or other not-for-profit entity, may not use such funds to support preschool education unless the charter school's approved charter authorizes the charter school to operate a preschool education program. If the charter school's current approved charter does not authorize the school to operate a preschool education program, the charter school must amend its existing charter in order to use CSP funds to support preschool education in the charter school. While a charter school may apply to amend its approved CSP grant or subgrant application to include preschool education pending approval of a request to amend its charter, CSP grantees and subgrantees may not use CSP funds for the purpose of supporting preschool education until after the charter amendment has taken effect.

**8. Under what circumstances may a grantee under the CSP Grants for Replication and Expansion of High-Quality Charter Schools (Replication and Expansion) program (CFDA 84.282M) amend its approved application to use CSP funds to "substantially expand" an existing charter school by offering preschool education?**

Existing grantees under the CSP Replication and Expansion program must follow the same procedures and meet the same general requirements as other grantees when applying to the Department for approval to amend their approved grant applications in order to use CSP funds to support preschool education in the charter schools that they manage (see FAQ #4 above). When seeking to "substantially expand" an existing charter school by adding a preschool education program, the grantee must ensure that the proposed expansion meets the standard set forth in the Final Priorities, Requirements, and Selection Criteria for the Replication and Expansion program published in the *Federal Register* on July 12, 2011 (July 12, 2011, Final Priorities), which can be found at <https://www.federalregister.gov/articles/2011/07/12/2011-17491/final-priorities-requirements-and-selection-criteria-charter-schools-program-csp-grants-for>. Under the July 12, 2011, Final Priorities, "substantially expand means to increase the student count of an existing charter school by more than 50 percent or to add at least two grades to an existing charter school over the course of the grant." For purposes of these FAQs, adding separate 3-year-old and 4-year-old preschool cohorts to an existing charter school qualifies as adding two grades.

**9. Must a charter school that receives CSP funds to support preschool education admit preschool students by lottery if more students apply for admission than can be accommodated?**

Yes. As with any charter school that receives CSP funds, a charter school that receives funds to support preschool education must meet the definition of "charter school" in section 5210(1) of the ESEA, including the requirement to admit students by lottery if more students apply for admission than can be accommodated. This requirement applies to any charter school that receives CSP funds to support preschool education, regardless of whether the charter school is located in a State in which preschool education is part of "elementary education" under State law.

In addition, while a charter school that receives CSP funds must employ an open admissions policy and use a lottery if it is oversubscribed, a charter school may use a weighted lottery in limited circumstances, such as to give “educationally disadvantaged students” slightly better chances for admission, as discussed in the CSP Nonregulatory Guidance issued by the Department in January 2014. For information on the circumstances under which charter schools receiving CSP funds may use weighted lotteries, including the categories of students that are considered to be “educationally disadvantaged,” please see the CSP Nonregulatory Guidance at <http://www2.ed.gov/programs/charter/nonregulatory-guidance.html>.

**10. May CSP funds be used to support a tuition-based or other private preschool program that is affiliated with a public charter school?**

No. As stated elsewhere in these FAQs, CSP funds may be used to support preschool education only in a charter school that meets the definition of “charter school” in section 5210(1) of the ESEA. Under section 5210(1)(F), a charter school that receives CSP funds must be a “public school” that, among other things, does not charge tuition.