# Public Charter Schools Grant Program Request for Applications 2022–23

**Start-Up** **Sub-Grant**

For the Planning and Implementation of Charter Schools

*California Department of Education*



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## Request for Applications Timeline

Please note the following dates for the 2022–23 Public Charter Schools Grant Program (PCSGP) Start-Up Sub-Grant Request for Applications (RFA) *Revised March 2023,* for the planning and implementation of charter schools. The term of the sub-grant will be **June 1, 2023, to September 30, 2023,** however, it may be extended for up to an additional nine months, pending approval of a no-cost extension (NCE).

### Start-Up RFA Timeline Events and Dates

| **Important Events** | **Dates** |
| --- | --- |
| Post final RFA on the California Department of Education (CDE) website | April 7, 2023 |
| Technical Assistance Webinar: Overview of RFA and Sub-Grant Budget Training | April 13, 2023, 10:00 a.m. Pacific Standard Time (PST) |
| **PCSGP application due date**  ***Notes:*** *Postmarks will be honored.**Applicants must have an approved charter petition by the Start-Up Sub-Grant application due date.* | May 19, 2023 |
| Eligibility Screening and Peer Reviewer evaluation and scoring of all eligible applications | May 19–June 9, 2023 (Tentative) |
| PCSGP Office notifies applicants of application status | June 14, 2023 (Tentative) |
| Grant Award Notification (GAN) will be processed after approval of Budget. Sub-grantees must sign and return the GAN. | Approximately 4–6 weeks after approval of the Budget |
| Sub-grant award starting date | June 1, 2023 |
| Reimbursement Payment Request Process  (approximately 6–8 weeks) | Begins upon CDE receipt of signed GAN and submission and approval of the first quarterly expenditure report (QER). |

## General Information

### Purpose and Background

The PCSGP is a sub-grant program funded by the federal Charter Schools Program (CSP), authorized under Title IV, Part C of the Elementary and Secondary Education Act (ESEA) of 1965, as amended by the Every Student Succeeds Act (ESSA) (20 *United States Code* [*U.S.C.*] 7221–7221j. **The PCSGP is a discretionary grant program. California was awarded approximately $41 million in grant funds for 2020–23.** States that are awarded these federal funds distribute them in sub-grants to charter school developers, known as PCSGP Start-Up Sub-Grants in the state of California, to assist in the development and initial operations of newly established or conversion charter schools.

Hereafter, the term CDE refers to the CDE operating under the policy direction of the State Board of Education (SBE). The CDE will award PCSGP sub-grants each year through fiscal year (FY) 2022–23, pending annual allocations from the Department of Education (ED). Up to 9 months may be added to sub-grant terms pending approval of an NCE for FY 2023–24.

PCSGP Start-Up Sub-Grants identify funding levels and sub-grant terms into four sub-grant types: Planning, Implementation, Replication, and Expansion. For FY 2022–23, the CDE has an approved pipeline and budget to award approximately 37 sub-grants. The actual number and type of sub-grants awarded during each RFA competition may vary based on demand. If all authorized awards are not approved for funding, the CDE will open additional RFA competition events for new applicants until all of the allocated funds have been awarded.

### 2. General Application Information

#### 2.1 General Applicant Eligibility

In order to be eligible for PCSGP Start-Up Sub-Grant funding, a developer, as defined by ESEA Section 4310(5), must have an approved charter petition from an authorized public chartering authority by the due date of the RFA. If the charter petition is pending approval, the PCSGP Start-Up Sub-Grant application will be deemed ineligible and will not be moved forward for peer review scoring. If the charter school has an approved charter petition but is not yet serving students, the applicant must include proof of charter petition approval along with their application. All applicants must submit proof the school notified the authorizer of their intent to apply for PCSGP Start-Up Sub-Grant funds.

A newly established or conversion classroom-based charter school may be eligible for a Planning or Implementation sub-grant during the PCSGP application period (April 7, 2023 – May 19, 2023), provided that the school did not begin serving students prior to July 1, 2021 (see Appendix B: Definitions of PCSGP Terms for the definition of a “Newly Established Charter School”).

##### 2.1.1 Federal Definition of a Charter School

In order to qualify for funds under the CSP, a charter school must meet the federal definition of a charter school*:*

(a) In accordance with a specific Statestatute authorizing the granting of charters to schools, is exempt from significant Stateor local rules that inhibit the flexible operation and management of public schools, but not from any rules relating to the other requirements of this definition;

(b) Is created by a developeras a public school, or is adapted by a developerfrom an existing public school, and is operated under public supervision and direction;

(c) Operates in pursuit of a specific set of educational objectives determined by the school’s developerand agreed to by the authorized public chartering agency*;*

(d) Provides a program of elementary or secondary education, or both;

(e) Is nonsectarian in its programs, admissions policies, employment practices, and all other operations, and is not affiliated with a sectarian school or religious institution;

(f) Does not charge tuition;

(g) Complies with the Age Discrimination Act of 1975, Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990 (42 *U.S.C.* 12101 *et seq.*), Section 444 of the General Education Provisions Act (GEPA) (20 *U.S.C.* 1232g; commonly referred to as the ‘‘Family Educational Rights and Privacy Act of 1974’’), and part B of the Individuals with Disabilities Act (IDEA);

(h) Is a school to which parents choose to send their children, and that—

(1) Admits students on the basis of a lottery, consistent with ESEA   
Section 4303(c)(3)(A) if more students apply for admission than can be accommodated; or

(2) In the case of a school that has an affiliated charter school(such as a school that is part of the same network of schools), automatically enrolls students who are enrolled in the immediate prior grade level of the affiliated charter schooland, for any additional student openings or student openings created through regular attrition in student enrollment in the affiliated charter schooland the enrolling school, admits students on the basis of a lottery as described in paragraph (1);

(i) Agrees to comply with the same Federal and Stateaudit requirements as do other elementary schools and secondary schools in the State*,* unless such State audit requirements are waived by the State*;*

(j) Meets all applicable Federal, State*,* and local health and safety requirements;

(k) Operates in accordance with State law;

(l) Has a written performance contract with the authorized public chartering agencyin the Statethat includes a description of how student performance will be measured in charter schools pursuant to State assessments that are required of other schools and pursuant to any other assessments mutually agreeable to the authorized public chartering agency and the charter school;and

(m) May serve students in early childhood education programsor postsecondary students (ESEA Section 4310[2]).

The charter school applicant must also meet the following elements:

* 1. Provide all students in the community with an equal opportunity to attend the charter school.
  2. Be a charter school with an approved charter petition at the time of grant application submittal.
  3. All eligible applicants must meet all physical location requirements under Assembly Bill (AB) 1505, 1507, and *Anderson Union High School District v Shasta Secondary Home School* decision. (See Appendix B: Definitions of PCSGP Terms for the definition of Attendance Area of a School)
  4. Demonstrate compliance with Senate Bill 126, Chapter 3, Statutes of 2019 requirements (<https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201920200SB126>).
  5. As a condition of eligibility, each charter school that receives a CSP sub-grant must agree to disclose and share an electronic copy of any official notices including, but not limited to, letters of concern, notice of violations, or notice of intent to revoke, from its authorizer with the CDE.
  6. An applicant must be a nonprofit entity and in good standing with the California Secretary of State (SOS). Nonprofit status will be verified with the California SOS at the time of application submission. Individuals and for-profit entities will be deemed ineligible.
  7. Provide the applicant’s Unique Entity Identifier (UEI) on PCSGP Form 2 – Application Cover Sheet. The UEI field is a mandatory field and must not be left empty. Please note that the federal government replaced the Dun and Bradstreet Data Universal Numbering System (DUNS) number with a new non-proprietary identifier, a UEI. To obtain a UEI, please visit the System for Award Management (SAM) online at [https://www.sam.gov](https://www.sam.gov/).
  8. Provide documentation of the applicant’s active registration with SAM. If awarded, the sub-grantee must maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by an agency. Additional information regarding SAM registration can be found in Appendix F: PCSGP Resources.

##### 2.1.2 Charter School Autonomy

Charter school autonomy is a requirement for PCSGP Start-Up Sub-Grant funding; therefore, **all** of the following conditions must be met:

The charter school must be highly autonomous. Each charter school receiving funds through the State entity’s program must have a high degree of autonomy over budget and operations, including autonomy over personnel decisions (ESEA Section 4303[f][2][A]). Successful applicants must demonstrate a high degree of autonomy in the application narrative.

* Reviewers use specific criteria to assess each charter school’s degree of autonomy. These criteria include, but are not limited to, the following:

1. Governance structure (i.e., governing board or entity as described in the school’s approved charter):
2. Is elected or appointed independently of the chartering authority.
3. Includes less than a majority of the current employees or appointees of the chartering authority.
4. Operates as and/or is operated by a nonprofit public benefit corporation.
5. Operations: The charter school governing board or entity as described in the school’s approved charter maintains control over a majority of its operations (i.e., professional development, school year calendar, disciplinary policies and procedures, curriculum, graduation requirements, etc.).
6. Staffing:
   1. Teachers and staff are employees of the charter school.
   2. The charter school retains a majority of decision-making authority over all hiring, dismissal, work rules, employee assignment, and other personnel decisions and actions.
   3. The charter school governing board or entity as described in the school’s approved charter has adopted its own employment policies and procedures.
7. Financial Decisions: The charter school governing board or entity as described in the school’s approved charter exhibits control over the development and adoption of the charter school’s budget, the receipt and expenditure of funds, business management (“back-office”) services, audit services, purchasing and contracting decisions, and other financial matters in general.

##### 2.1.3 Public Random Drawing and Lottery

The applicant's approved charter must comply with applicable federal and state public random drawing (lottery) laws (ESEA Section 4303[c][3][A][i,ii] and 4310[H][i,ii]). Admission preferences shall not create an attendance barrier for students seeking enrollment at the charter school. Locally and SBE-authorized charter schools must comply with California *Education Code* (*EC)* sections 47605(d)(2)(A) and 47605(d)(2)(B) which state:

*EC* Section 47605(d)(2)(A)–A charter school shall admit all pupils who wish to attend the school; and

*EC* Section 47605(d)(2)(B)–If the number of pupils who wish to attend the charter school exceeds the charter school’s capacity, attendance, except for existing pupils of the charter school, shall be determined by a public random drawing. Preference shall be extended to pupils currently attending the charter school and pupils who reside in the school district except as provided for in *EC* Section 47614.5. Preferences, including, but not limited to, siblings of pupils admitted or attending the charter school and children of the charter school’s teachers, staff, and founders identified in the initial charter, may also be permitted by the chartering authority on an individual charter school basis. Priority order for any preference shall be determined in the charter petition in accordance with all of the following:

1. Each type of preference shall be approved by the chartering authority at a public hearing.
2. Preferences shall be consistent with federal law, the California Constitution, and *EC* Section 200.
3. Preferences shall not result in limiting enrollment access for pupils with disabilities, academically low-achieving pupils, English learners, neglected or delinquent pupils, homeless pupils, or pupils who are economically disadvantaged, as determined by eligibility for any free or reduced-price meal program, foster youth, or pupils based on nationality, race, ethnicity, or sexual orientation.
4. In accordance with *EC* Section 49011, preferences shall not require mandatory parental volunteer as a criterion for admission or continued enrollment.

Charter schools authorized as a countywide benefit charter must comply with *EC*   
Section 47605.6(e)(2)(A) and *EC* Section 47605.6(e)(2)(B) which state:

*EC* Section 47605.6(e)(2)(A)–A charter school shall admit all pupils who wish to attend the school; and

*EC* Section 47605.6(e)(2)(B)–However, if the number of pupils who wish to attend the charter school exceeds the school’s capacity, attendance, except for existing pupils of the charter school, shall be determined by a public random drawing. Preference shall be extended to pupils currently attending the charter school and pupils who reside in the county except as provided for in Section 47614.5. Other preferences may be permitted by the chartering authority on an individual charter school basis and only if consistent with the law.

Applicants must comply with *EC* Section 49700, which provides for the timely enrollment of children of military families and ensuring that they are not placed at a disadvantage due to difficulty in the transfer of educational records or various entrance/age requirements.

#### 2.2 Expansion and Replication Sub-Grant Eligibility

Charter school management organizations (CMOs) and charter schools under, or part of, a nonprofit organization which operates more than one charter school, under the same governing board, are not eligible for Planning or Implementation sub-grants, but may be eligible for a Replication or Expansion sub-grant. Nonclassroom-based and virtual charter schools are only eligible for an Expansion sub-grant if the charter school has not received a CSP grant from the CDE or ED within the past five years. See Appendix B: Definitions of PCSGP Terms for definition of “nonclassroom-based” and “virtual charter school”.

However, 2022–23 PCSGP Start-Up Sub-Grant RFA *Revised March 2023,* applicants will only be considered for Planning and Implementation sub-grants. The CDE intends to run additional competitions including Replication and Expansion sub-grants in the future.

#### 2.3 Technical Assistance

The CDE will deliver a technical assistance webinar on April 13, 2023, for all interested parties. The webinar will provide information regarding completion of the RFA, completing the Budget Detail and Budget Narrative forms, and provide applicants an opportunity to ask questions of CDE staff. Specific dates and times will be provided to all applicants. After charter schools are awarded sub-grants, the CDE will provide additional Technical Assistance on reporting and monitoring requirements.

### 3. Funding Priority and Funding Levels

#### 3.1 Funding Priority

Due to the highly competitive nature of the 2022–23 PCSGP Start-Up Sub-Grant RFA, additional preference points will be awarded to eligible applicants who demonstrate the following:

1. The applicant school site will be located in an area defined as rural county AND in a Qualified Opportunity Zone (QOZ). Rural counties have populations below 65,000 based on the 2010 United States Census. The 2020–2023 CSP established preference priorities to spur investment in QOZs (One point). Information on California’s QOZ can be found on the Institute for Local Government web page at <https://www.ca-ilg.org/post/where-are-californias-opportunity-zones>.
2. The applicant provides a signed facility agreement with the PCSGP Start-Up Sub-Grant application (One point).
3. The applicant proposed opening a new charter high school serving all grades nine through twelve (One point).
4. The applicant school site will be located in a district or county with less than ten publicly funded charter schools (One point).

These preferences are in alignment with the approved 2020–23 CSP award priority preferences. A funding priority based on the overall peer review score plus preference points will be applied if insufficient funds are available to fund all applications that receive a qualifying score. There may not be sufficient funding to serve all eligible applicants. Therefore, this application process is highly competitive.

CDE staff will complete an eligibility screening for all applications, which may include a review of the approved charter petition, level of autonomy, and the lottery preferences. Applications deemed eligible will be moved on to the peer review process for scoring (See Appendix A: PCSGP Start-Up Sub-Grant Scoring Rubric). The CDE will only consider awarding funds to those applications that submit a comprehensive and viable application likely to improve student academic achievement, therefore an application that receives a "1" in any required element on the PCSGP Start-Up Sub-Grant Scoring Rubric will not be considered for funding. **Preference points will not be added to any application receiving a score of “1” in any required element.**

Additional information on scoring criteria is provided in Section 8 Application Review and Scoring Process.

#### 3.2 Length of Sub-Grant Award and Maximum Funding Level

There are two PCSGP Start-Up Sub-Grants offered through this RFA: Planning and Implementation. **The maximum sub-grant award is $600,000, for a 4-month period of time, with one additional opportunity to apply for supplemental funding through the Higher Sub-Grant Award, of up to $100,000, to specifically serve educationally disadvantaged students (EDS).** For the purposes of this grant, EDS are those students identified as Socioeconomically Disadvantaged, English Learners, and Foster and Homeless Youth. Additional information can be found in Section 3.4 Eligibility for Higher Sub-Grant Award to Serve Educationally Disadvantaged Students.

The total award for each sub-grant will be allocated over the term of the sub-grant from June 1, 2023, to September 30, 2023. No PCSGP sub-grant can currently go beyond California’s current CSP grant period end date. However, if California is approved for an NCE, PCSGP sub-grantees may be able to receive up to an additional 9 months to spend down sub-grant funds.

##### 3.2.1 Planning Sub-Grant Term

Planning sub-grants end on the day prior to the first day of instruction (including summer school programs) and cannot exceed 18 months. Once the planning sub-grantee charter school begins serving students, has met all reporting requirements, and has completed the planning grant work plan, they are eligible to apply for additional implementation funding. Implementation funding will be determined based on the sub-grantee’s “Planning Sub-Grant Benchmark Report,” which is due to the CDE by the end of the first month the school begins serving students (See Section 4.3 Planning Sub-Grant Required Deliverables). If a sub-grantee receives both levels of funding (Planning and Implementation), the full term of the sub-grant cannot exceed 36 months. For example, if the planning phase totals 18 months in duration, then the implementation phase can only be an additional 18 months, as to not exceed 36 months total.

##### 3.2.2 ImplementationSub-Grant Term

Implementation sub-grants are awarded for up to 36 months. Implementation sub-grants that are awarded as additional funding to Planning sub-grantees cannot exceed a combined time frame of 36 months.

Interruptions in the sub-grant period may warrant full or partial termination of the sub-grant award. For example, if a school is unable to open due to the inability to secure facilities by the close of its planning phase, the sub-grant for the school will be terminated and the school may be invoiced for the total amount of funding received.

#### 3.3 PCSGP Start-Up Sub-Grant Funding Levels

The funding levels for each of the four sub-grant types vary. Table 3.3 below shows the funding levels for Planning and Implementation sub-grants (see eligibility requirements for each sub-grant in Section 2 General Application Information).

##### Table 3.3 PCSGP Start-Up Sub-Grant Award Funding Levels

| **Sub-grant Type** | **Planning Only (See note below)** | **Implementation Add-On Funding for Planning Sub-grants** | **Implementation Only** |
| --- | --- | --- | --- |
| **Funding Level** | Up to $100,000 for up to 18 months | Year 1 up to $500,000  Planning plus Implementation terms cannot exceed 36 months. | Year 1 up to $350,000  Year 2 up to $250,000  Implementation term cannot exceed 36 months. |

All sub-grant terms described above will include the initial sub-grant term of 4 months and may include up to 9 additional months pending approval of an NCE, for a total of up to 13 months.

**For Planning Sub-grants:** A charter school serving students on or prior to the day of the PCSGP sub-grant award start date is not eligible for planning sub-grant funds. The planning phase ends on the day before the school starts serving students.

#### 3.4 Eligibility for Higher Sub-Grant Award to Serve EDS

Implementation sub-grantees will have the opportunity to apply for supplemental funding of up to $100,000 based on the number of EDS served through the Higher Sub-Grant Award. For the purposes of this eligibility criterion, EDS are “unduplicated students” as defined in the Local Control Funding Formula (LCFF). Unduplicated students are (1) English learners, (2) socioeconomically disadvantaged students who meet income or categorical eligibility requirements for free or reduced-price meals under the National School Lunch Program, or (3) foster or homeless youth. EDS data must be verifiable on California Longitudinal Pupil Achievement Data System (CALPADS) certified enrollment reports. EDS data should be reflected in the CALPADS Fall Census Day data. The Higher Sub-Grant Award will be available to eligible sub-grantees in “compliance/good standing” for the purposes of increasing or improving services to EDS. Charter schools in the planning phase are not eligible to be considered for supplemental funding. Funding above the PCSGP Start-Up Sub-Grant base award may be awarded to schools in the Implementation phase based on consideration of the following factors:

* Enrollment percentage of EDS as verified on CALPADS certified for each school;
* Total enrollment of the school meeting the 80-student minimum requirement (for additional information see Section 4.2 Minimum Student Enrollment Requirement);
* The charter school has met all program accountability, reporting, and monitoring criteria as outlined in the RFA; and
* Availability of funds.

### 4. Program Accountability and Monitoring

The CDE is responsible for monitoring PCSGP sub-grant implementation in accordance with the following program accountability requirements. The CDE must ensure each sub-grantee receiving PCSGP funding through this RFA:

* Meets the eligibility requirements for the sub-grant described herein, and the applicant has provided all required assurances that it will comply with all program implementation and reporting requirements established through this RFA.
* Appropriately uses these funds as described in their approved application and approved PCSGP Budget.
* Implements activities funded through this application within the timeline in which the funds provided are to be used.

To fulfill its monitoring responsibilities, the CDE requires funded applicants to submit appropriate fiscal and program documentation. In addition, representatives of the state may conduct formal and informal site visits to a selected representative sample of funded applicants. Additionally, the CDE may also conduct unannounced site visits. The purpose of visits is to validate information submitted by applicants, and gather additional information from interviews and observations for monitoring and evaluation purposes.

#### 4.1 Program Accountability

Each identified sub-grantee is responsible for carrying out its responsibilities in accordance with Title IV, Part C of the ESEA, as amended by the ESSA (20 *U.S.C.* 7221-7221j) available at <https://oese.ed.gov/offices/office-of-formula-grants/school-support-and-accountability/essa-legislation-table-contents/title-iv-21st-century-schools/#TITLE-IV-PART-C> and its approved sub-grant application and work plan. Sub-grantees may also be required to submit periodic reports to the CDE on the use of sub-grant funds and progress toward proposed sub-grant activities.

#### 4.2 Minimum Student Enrollment Requirement

To qualify for continued PCSGP funding, all sub-grantees serving students must show enrollment of at least **80** students at any point in time during the first year of the sub-grant award and each subsequent year. All sub-grantees are required to submit the CALPADS Census Day Enrollment Report and Charter 20 Day Report to the CDE each year of the sub-grant award, as applicable. Sub-grantees with an enrollment count below 72 students (90 percent of the required 80 students) will be placed on payment hold until the required enrollment has been achieved and certified by the charter school authorizer or additional documentation has been received to prove financial sustainability.

Sub-grantees failing to meet the 80-student minimum enrollment requirement by the end of the first year of the sub-grant term must show the charter school is sustainable with the reduced enrollment. Failure to show sustainability or to meet the enrollment target will result in the termination of the sub-grant award.

#### 4.3 Planning Sub-Grant Required Deliverables

All Planning sub-grantees must begin serving students by the end of the 18-month maximum planning period. Sub-grantee schools failing to open within the 18-month maximum planning period will not be eligible for Implementation sub-grant funding, sub-grants will be cancelled, and the sub-grantee may be billed back for all sub-grant funding dispersed to date. Additionally, any sub-grantee whose sub-grant has been cancelled is not eligible for ANY future PCSGP funding.

All Planning sub-grantees are required to submit a copy of the signed lease agreement or evidence of securing a Prop 39 facility prior to approval for Implementation add-on funding. In addition to delaying approval for additional funding, failure to show a secured facility may put the Planning sub-grant on payment hold until the charter school can show proof of acquiring an appropriate facility.

All Planning sub-grantees must complete a Planning Sub-Grant Benchmark Report demonstrating the sub-grantee has begun serving students, has met all PCSGP reporting requirements, and has been successful in completing the PCSGP planning phase work plan. In order to apply for Implementation add-on funding, the sub-grantee must submit the Planning Sub-Grant Benchmark Report, including a new Budget Summary and Budget Narrative (Forms 6 & 7) and Charter School Work Plan/Activities (Form 4) for the Implementation phase. All Planning sub-grantees must verify enrollment in accordance with Section 4.2 Minimum Student Enrollment Requirement. Planning sub-grantees with an enrollment count below 72 students are eligible to apply for Implementation add-on funding, but will be placed on payment hold until all requirements outlined in Section 4.2 are met. The Planning Sub-Grant Benchmark Report will be sent to all eligible Planning sub-grantees in the final quarter of the planning grant term and is due by the end of the first month the school begins serving students. The CDE will review all submitted documents and announce grant award notifications no later than four weeks after receipt of the Planning Sub-Grant Benchmark Report.

#### 4.4 Fiscal Reporting Requirements

All 2022–23 PCSGP Start-Up Sub-Grants are reimbursement only. The CDE will not issue any advance payments for the sub-grant. In order to be reimbursed for expenses, sub-grantees must submit Quarterly Expenditure Reports (QERs) to the CDE for the duration of their sub-grant award. In addition, all sub-grantees must submit a copy of the detailed general ledger (GL) report for the corresponding quarter. The GL must be itemized and show the names of all vendors paid from the sub-grant and a description of the services or items purchased. The sub-grantee is responsible for ensuring that reports are accurate, complete, and submitted on time. Failure to submit on time may result in reimbursement payments being delayed. Failure to submit QERs and GLs may result in termination of the sub-grant award.

##### Table 4.4 Fiscal Reporting Due Dates

| Quarter | Reporting Period | Report Due Date |
| --- | --- | --- |
| 1 | July 1–September 30 | October 31 |
| 2 | October 1–December 31 | January 31 |
| 3 | January 1–March 31 | April 30 |
| 4 | April 1–June 30 | July 31 |

#### 4.5 Performance Reporting Requirements

Annual performance reports (APRs) must be submitted to the CDE to report project progress no later than **March 1** of each year. The sub-grantee is responsible for ensuring that APRs are accurate, complete, and submitted on time. Progress toward achieving sub-grant goals and objectives will be monitored through the APR process. Failure to submit APRs may result in termination of the sub-grant award or withholding of the final payment until all reports are submitted.

#### 4.6 Annual Budget

An annual budget of projected expenditures to be funded by the sub-grant must be submitted during the application process. Once there is an approved budget on file with the CDE, budget revision requests are permitted. However, all budget revision requests must be submitted and approved by the CDE prior to submission of the QER. All expenditures charged to the sub-grant must be in the approved budget or an approved budget revision. Items that are charged to the sub-grant outside of the approved budget may be rejected for payment.

#### 4.7 Sub-Grantee Monitoring

The CDE will monitor sub-grantees by reviewing and approving quarterly fiscal reports and annual progress reports (APRs). The CDE will also conduct desk reviews and site monitoring visits, contingent on travel restrictions and the availability of funds. All monitoring evidence submitted to the CDE is subject to verification. If selected as part of a site monitoring visit sample, sub-grantees must agree to site visits by state representatives. The site visit is intended to validate information provided in fiscal and program reports and gather more detailed information on implementation efforts and challenges. Prior to a monitoring review, the selected sub-grantees are required to submit relevant information that will allow the CDE to conduct a useful, efficient, and effective visit. The CDE will provide all selected charter schools with an electronic submission portal instead of hardcopy submission. The CDE may require additional information from the sub-grantee, including, but not limited to, invoices, receipts, personnel time and effort reports, and verification of information from the authorizing agency.

CDE staff will verify the contents of documentation submitted and complete a formal report to the sub-grantee regarding any findings from a review of the evidence provided. The sub-grantee will be asked to revise expenditure reports if it is determined that non-allowable expenses are included or if there are unexplained discrepancies between the proposed use of sub-grant funds, as provided in the annual budget, and the actual expenditures found in the submitted documentation. Failure to follow state laws and the intent of the grant or failure to resolve findings from the monitoring review may result in the cancellation of the sub-grant and the return of all sub-grant fund disbursements. The CDE may also conduct informal and unannounced site visits.

#### 4.8 Program Evaluation: External Review

A rigorous process of review by a third-party external reviewer, not affiliated with the charter school’s authorizing entity, or any member of the charter school’s governing board, faculty, or staff, is required for all Implementation sub-grantees on or before the end of the grant period. A copy of the report must be submitted to the CDE and a copy must be kept on file at the school site. If a sub-grantee fails to conduct any sub-grant requirements, including the external review, on or before the end of the sub-grant period, the CDE will withhold ten percent of the total sub-grant award.

### 5. Fiscal Operations

#### 5.1 Allowable Use of Funds

PCSGP Start-Up sub-grantees may only use sub-grant funds for allowable sub-grant expenditures during the grant period. PCSGP Start-Up Sub-Grant activities may include: (1) post-award planning and design of the educational program which may include: (a) refinement of the desired educational results and of the methods for measuring progress toward achieving those results; and (b) professional development of teachers and other staff who will work at the charter school; and (2) initial implementation of the charter school, which may include: (a) informing the community about the school; (b) acquiring necessary equipment and educational materials and supplies; (c) acquiring or developing curriculum materials; and (d) other initial operational costs that cannot be met from State or local sources, pursuant to 20 U.S.C. Section 7221c(f)(3). PCSGP Start-Up Sub-Grant funds may be used to fund one or more of the following activities described in 20 *U.S.C.* 7221b(h):

1. Acquiring supplies, training, equipment (including technology), and educational materials (including developing and acquiring instructional materials).
2. Carrying out necessary renovations to ensure that a new school building complies with applicable statutes and regulations, and minor facilities repairs (excluding construction).
3. Providing one-time startup costs associated with providing transportation to students to and from the charter school.
4. Carrying out community engagement activities, which may include paying the cost of student and staff recruitment.
5. Providing for other appropriate, non-sustained costs related to the activities described in subsection (b)(1) when such costs cannot be met from other sources.

Additionally, PCSGP Start-Up Sub-Grant funds may be used to support indirect costs, limited to the sub-grantee’s CDE-approved Indirect Cost Rates (ICR) as found on the CDE ICR web page at <https://www.cde.ca.gov/fg/ac/ic/> for the applicable FY in which the funds are expended. If the sub-grantee does not have a current CDE-approved ICR, and has never received one, the sub-grantee may charge indirect costs on a preliminary basis using the statewide average rate (5.35 percent for fiscal year 2022–23). Indirect costs are agency-wide, general management costs (i.e., activities for the direction and control of the agency as a whole). General management costs consist of administrative activities necessary for the general operation of the agency, such as accounting, budgeting, payroll preparation, personnel services, purchasing, and centralized data processing. All indirect costs must be charged against eligible program expenditures, in compliance with state and federal law and regulations, and aligned with standard accounting practices. Please see additional information on rates, eligible program expenditures, and other guidance at the CDE ICR Frequently Asked Questions web page at <https://www.cde.ca.gov/fg/ac/ic/icrfaq.asp>. For assistance in determining indirect cost rates, please email [PCSGPGeneral@cde.ca.gov](mailto:pcsgpgeneral@cde.ca.gov).

Sub-grantees may only use sub-grant funds as stated in the **approved budget**. The PCSGP funds must supplement, not supplant, existing services and may not be used to supplant Federal, State, local, or nonfederal funds. Programs may not use PCSGP funds to pay for existing levels of service funded from any other source. PCSGP funds cannot be used for new construction, class size reduction, out of country travel, after school programs, or purchases that do not directly support the approved work plan. All out of state travel **MUST** be pre-approved by the CDE in the approved budget narrative. See Appendix F: PCSGP Resources for additional information regarding travel reimbursement rates.

**Implementation** sub-grant funds may not be used to supplant salaries and benefits of school employees. Each eligible charter school that receives an award may use the funds to carry out activities that advance the PCSGP sub-grant priorities. Consumable Goods, such as office supplies, can only be charged to the sub-grant **ONE** time during the first quarter of the grant term for Implementation sub-grants.

**Planning** sub-grant funds may be used for staff salaries (up to four months, see specific conditions below), materials, services, training, equipment, supplies, facilities (up to three months), or other start up purchases that are one-time in nature, except as specifically limited by all applicable legal requirements including all regulations or statutes or by the State Educational Agency (SEA). Planning sub-grantees may use funds for hiring and compensating, during the eligible applicant’s planning period specified in the application for sub-grant funds that is required under this section, one or more of the following: teachers, school leaders, and specialized instructional support personnel. Definitions for the staffing positions described pursuant to 20 *U.S.C.* 7801:

1. Specialized instructional support personnel. The term `specialized instructional support personnel' means:
2. School counselors, school social workers, and school psychologists; and
3. Other qualified professional personnel, such as school nurses, speech language pathologists, and school librarians, involved in providing assessment, diagnosis, counseling, educational, therapeutic, and other necessary services (including related services as that term is defined in Section 602 of the Individuals with Disabilities Education Act (20 *U.S.C.* 1401)) as part­­ of a comprehensive program to meet student needs.
4. School leader. The term ‘school leader’ means a principal, assistant principal, or other individual who is:
5. An employee or officer of an elementary school or secondary school, local educational agency (LEA), or other entity operating an elementary school or secondary school; and
6. Responsible for the daily instructional leadership and managerial operations in the elementary school or secondary school building.

Additionally, the CDE has established the following budgetary guidelines for Planning sub-grantees:

##### Table 5.1 Planning Budget Guidelines

| **Spending Category/Type** | **Allowable Level of Funding** |
| --- | --- |
| Certificated and Classified Salaries for teachers, school leaders, and specialized instructional support personnel.  The school must maintain Time and Effort Reports for all employees paid from the grant. | No more than four months prior to the opening date of school. Costs must be reasonable and necessary. Salaries charged to the sub-grant must be associated with teachers, school leaders, and specialized instructional support personnel. See additional information in Section 5.1 above. |
| Certificated and Classified Benefits | No more than four months prior to the opening date of school. Benefits must be associated with the salaries charged to the sub-grant. Costs must be reasonable and necessary. |
| Facilities fees such as rental or lease of buildings | No more than three months prior to the opening date of school. Costs must be reasonable and necessary. |
| Consumable Goods – such as office supplies, paper, pens, file folders, ink cartridges | Can only be charged to the sub-grant **ONE** time during the planning phase or during the first quarter of the grant term for all other grant types. |

All PCSGP federally funded applicants must adhere to the following regulations:

* Uniform Guidance: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Title 2 *Code of Federal Regulations* (*CFR*) Part 200 (<https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200>)
* Charter Schools Program Nonregulatory Guidance (updated January 2014) (<https://www2.ed.gov/programs/charter/fy14cspnonregguidance.doc>)
* CSP State Entity (SE) Grant Legislation, Regulation and guidance can be found at <https://oese.ed.gov/offices/office-of-discretionary-grants-support-services/charter-school-programs/state-entities/funding-and-legislation/>

Sub-grantees are prohibited from using federal grant funds for fundraising, civil defense, legal claims against the state or federal government, and contingencies.

For a detailed description of these expenditure classifications, refer to the *California School Accounting Manual,* 2019 Edition*.* Visit the CDE Accounting web page at <http://www.cde.ca.gov/fg/ac/sa/> for viewing and downloading information.

#### 5.2 Reimbursement Payments to Sub-grantees

The sub-grantee must report expenditures for the PCSGP Start-Up Sub-Grant to the CDE on a quarterly basis in order to receive reimbursement for expenses incurred. The CDE will review the QERs and corresponding detailed GLs for resource code 4610 that are submitted and certified by the sub-grantee. The approved QERs and GLs will be used to determine the reimbursement payment due to the sub-grantee in each quarterly reporting period. Late or incorrect QERs will delay payments. Failure to submit QERs and GLs may result in the termination of the sub-grant. If the sub-grant is terminated, the funding dispersed to date may be invoiced.

No reimbursement payments will be made in excess of the annual sub-grant allocation by year, or 90 percent of the total sub-grant award for Implementation sub-grantees. Ten percent of the Implementation sub-grant awards will be withheld until all sub-grant requirements have been met.

#### 5.3 Termination of Funding

PCSGP Start-Up Sub-Grant funding may be terminated and reimbursement payments dispersed to date may be invoiced if there is evidence of fraud or fiscal irregularity in the use of funds for their intended purpose(s). Funding may also be terminated if the sub-grantee fails to submit the required deliverables in a timely manner: QERs, GLs, APRs, or fails to comply with any compliance monitoring requests.

PCSGP sub-grant funding may also be terminated if the sub-grantee does not maintain an active registration within the SAM database (<https://www.sam.gov/>) throughout the entire sub-grant award term. Sub-grantees are responsible for ensuring their information in the SAM database is current, accurate, and complete, as required by the Federal Funding Accountability and Transparency Act, as defined in Title 2 *CFR* Part 25 (PL 109–282; PL 110–252). Pursuant to 2 *CFR*, Part 25.205, failure to register and maintain this information may result in payment holds, and/or termination of the sub-grant award.

PCSGP Planning sub-grant funding may be terminated if the charter school is unable to begin serving students within 18 months of the sub-grant award start date.

PCSGP sub-grantees failing to meet the minimum enrollment requirement by the end of the first year of sub-grant implementation and unable to show that the charter school is sustainable may result in the termination of the sub-grant award.

### 6. Application Specifications

Each applicant must submit one original application with blue ink or authenticated e-signatures AND one electronic copy of the complete application as a single portable document format (PDF) file that contains all required items. The application packet must include complete and unique responses to all narrative elements described within this RFA and all required forms. Comprehensive narrative requirements and associated scoring criteria can be found in Appendix A: PCSGP Start-Up Sub-Grant Scoring Rubric.

The application must be single-line-spaced, using default character spacing and 12-point Arial font, with one-inch margins. Applications must be submitted with all forms compiled in the order listed on the Form 1 – Application Component Checklist. **Applications failing to meet these criteria or those applications with plagiarized or duplicative narrative statements from other sub-grant applications may be deemed ineligible.** The electronic application must be submitted to the CDE by May 19, 2023. Postmarks by May 19, 2023 will be honored for original applications mailed to the CDE.

#### 6.1 Eligibility Checklist

All applicants should complete the eligibility checklist below prior to filling in other forms within the application packet. The eligibility checklist is designed to help schools determine if they may be eligible for PCSGP funding.

1. Will the charter school have an approved charter petition by the sub-grant application due date?
2. Is the charter school a nonprofit organization, or part of a nonprofit organization, that is registered with, and in good standing with, the Secretary of State?
3. Does the individual charter school have an active registration with the System for Award Management?
4. Is the charter school a direct-funded charter school?
5. If applying for a Planning or Implementation sub-grant, is the charter school considered a new charter school? If the school is considered a continuing charter school, the applicant is not eligible for Planning or Implementation funding.
6. Will the charter school begin serving students within 18 months or less from the sub-grant application due date?

If the answer is “NO” to any of the Questions 1 to 6, the school may be deemed ineligible for PCSGP funding. All of the above information will be verified by CDE staff prior to moving the application forward to the peer review scoring process.

#### 6.2 Preference Points

All applicants applying for preference points must demonstrate the following:

1. The proposed school site will be located in a Rural County and a QOZ. The data source must be cited in the petition and will be verified by CDE staff. The data must include the county population based on the 2010 US Census and the QOZ identification number.
2. Signed lease agreement or evidence of securing a Prop 39 facility.
3. High school education program designed to serve grades nine through twelve.
4. The proposed charter school site will be located in a district or county with less than ten publicly funded charter schools. A list of charter schools located in the district or county must be provided in the narrative and will be verified by CDE staff.

### 7. Narrative Response Requirements

The Narrative Response is a required element with a **30-page** limit. When responding to the narrative elements, applicants should provide a thorough response that addresses **all** requirements for each element. The CDE has provided a rubric that outlines expectations for applicant responses to each narrative element and other requirements of the application (Appendix A: PCSGP Start-Up Sub-Grant Scoring Rubric). Applicants are advised to use the rubric as a guide in preparing their applications. The rubric will also be used as a guide for reviewers during the application review and peer review and scoring process. An application that receives a rating of "1" in any required area will not be recommended for funding. The narrative elements and required assurances are described below.

#### 7.1 Charter School Identity and Governance Structure

The applicant must describe the following:

* The flexibility and level of autonomy the charter school has from the authorizer over the budget, expenditures, personnel, and daily operations.
* A description of the roles and responsibilities of any partner organizations’ administrative and contractual roles. This includes partnership organizations described in *EC* 47612.1 such as Workforce Development, Job Corp, and any other authorized agency assisting charter schools enrolling students over the age of 18.
* The expected student demographics, including grade level or ages of children to be served, ethnicity, and educationally disadvantaged populations, as well as geographic boundaries to be served.
* The description and justification for the staffing of the charter school, including the number of teachers, counselors, and administration.
* The governance structure for the charter school, including the details on who will manage the PCSGP sub-grant budget and expenditures.
* A description of governing board membership including the identification of the governing board members with resumes included as appendices. Any perceived conflicts of interest may require further clarification to the CDE.
* A description of business or personnel services contracts to be used by the charter school, if applicable, or a description of how charter school staff will be responsible for these services.
* A description of how the charter school will build capacity including completion of governance and fiscal training for all site leaders and board members, and how the applicant will maintain financial stability after the sub-grant has ended.
* The applicant must provide evidence of notifying the authorizer of their intent to apply for PCSGP funding and include a copy of the evidence in the Appendix.

#### 7.2 The Educational Program

The applicant must describe the educational program to be implemented in the proposed charter school. This description must address the following:

* Uniqueness of the Educational Program: The applicant must describe the proposed education program for the school including a description of how the program is ***unique*** to the region governed by the charter authorizer.
* Curriculum and Instructional Practices: The applicant must describe the curriculum and instructional practices at the school including the subjects and academic content. Instructional practices must describe the techniques or methodology used by teachers to help engage students and increase student learning.
* Research Based Educational Program: The applicant must describe how the proposed education program is likely to improve student academic success based on sound research with appropriate citations. (Citations may be listed in a separate appendix and do not add to page count). Hyperlinks may be included.
* Schoolwide performance objectives and methods of assessment: The applicant must describe the performance objectives of the school for the first five years of operation and describe how the school will monitor the progress. (Refer to Quality Schooling Framework State Priorities at <https://www.cde.ca.gov/fg/aa/lc/statepriorityresources.asp>.)
* Clearly describe how academic assessment data will be used to inform instruction.
* Student Subgroup Academic Achievement: The applicant must describe how the school will monitor student subgroup academic achievement.

#### 7.3 Targeted Funding for Building a High-Quality Charter School

##### 7.3.1 Conditions of Learning Part 1

The applicant must describe how the school will use grant funds to address the following: Teacher Recruitment and Retention, Teacher Professional Learning, Curriculum, Instruction, Culture and Climate. The applicant must also describe how resources will be aligned for each of these areas:

* A description of how the applicant will recruit and retain appropriately credentialed and assigned teachers;
* A description of a well-developed professional development plan for the entire school;
* A description of the intended culture and climate to be developed at the school and how it will be developed; and
* A description of the resources needed to implement each of the items in the Conditions of Learning Section Part 1, including the following:
  + Description of secure, adequate student record and retention software to improve the transfer of student records for transient students and ensure correct academic placement;
  + Description of educational technology to provide equal access for students who do not have access to technology in the home; and
  + Instructional improvement systems including technology-based tools and other strategies that provide teachers, principals, and administrators with actionable data to systemically manage continuous academic improvement for all student subgroups.

##### 7.3.2 Conditions of Learning Part 2

The applicant must describe how the school will use grant funds to address the needs of EDS specific to: Assessment, Curriculum, Instruction, Equity, and Professional Learning as it relates to implementing academic content and performance standards for all pupils. The applicant must also describe how resources will be aligned for each of these areas:

* A description of how the charter school will comply with IDEA Section 613(a)(5) and 613 (e)(1)(B). Applicants that are part of a LEA for the purposes of special education must address how the applicant’s students with disabilities will be served in the same manner as students with disabilities served by the LEA in its other schools.
* A description of how the school will support English Learners towards English proficiency and reclassification.
* A description of how the school will attract, recruit, admit, enroll, serve, and retain EDS. The narrative must also demonstrate how EDS will be given equal access to enroll in the charter school and participate in the school programs, including how any transportation needs will be met.

#### 7.4 Engagement

##### 7.4.1 Parent and Community Involvement

The applicant must describe how the charter school will seek parent and community input addressing the following:

* How parents and other members of the community will be or have been involved in the planning, program design, and implementation of the charter school;
* A description of how parents and the community will be involved in developing the school culture and climate;
* A description of how parents and the community will be given feedback on student progress and assessment results;
* A description of how the school will ensure public access to the annual California School Dashboard Report and how the school website will be used to inform parents about educational options offered by the school; and
* The process followed by the school to ensure ongoing parental involvement.

##### 7.4.2 Absenteeism and Dropout Rates

The applicant must describe how the charter school will use grant funds to address the following (if applicable): attendance rates, chronic absenteeism rates, middle school dropout rates, high school dropout rates, and high school graduation rates.

##### 7.4.3 Student Discipline and Safety

The applicant must describe how the school will use grant funds to address the following: pupil suspension rates, pupil expulsion rates, and other local measures including surveys of pupils, parents, and teachers on the sense of safety and school connectedness. The description should also include the following:

* A description of student intervention programs to be used by the school to reduce suspension and expulsion rates; and
* A description on how the school will obtain feedback from students, parents, and teachers on school safety and connectedness issues.

##### 7.4.4 Notification and Admissions

The applicant must describe the notification and admission process. This description must address the following:

* A description of how students in the community will be or have been informed about the charter school and given an equal opportunity to attend the charter school.
* The school’s admission preferences as approved by the authorizer in the charter petition.
* The admission and public random drawing processes are compliant with state and federal laws as described in the assurances and agreed to by signature of the Administrator or Designee in the Certification, Assurances, and Signature Section.

#### 7.5 Charter School Work Plan/Activities

All applicants must complete Form 4 – Charter School Work Plan/Activities. The form should include justification for each activity. There is a **15-page limit** total for this section.

#### 7.6 Proposed Budget Summary and Narrative

All applicants must complete the PCSGP Budget Proposal Excel Workbook including Form 6 – Budget Summary and Form 7 – Budget Narrative. The completed worksheets must be printed and submitted as part of the application submission package.

The CDE will review all budgets and justifications to ensure that all costs are reasonable, necessary, and allocable to the grant. Additional information regarding allowable and non-allowable expenses can be found on the CDE PCSGP Administration, Resources, and Support web page at <https://www.cde.ca.gov/sp/ch/pcsgpadmin.asp>.

### 8. Application Review and Scoring Process

#### 8.1 Application Screening

After the application has been submitted, CDE staff will screen the application to verify the application is complete and meets all eligibility criteria in the narrative responses. An application that does not meet **all** of the eligibility criteria will not be forwarded to the peer review process and the primary applicant will be formally notified by the CDE staff. Only applications meeting the eligibility criteria will be moved to the peer review process.

#### 8.2 Peer Review

Federal regulations (<http://www.gpo.gov/fdsys/pkg/FR-2015-06-15/pdf/2015-14391.pdf>) require a peer review of PCSGP applications. California recruits charter school developers, governing board members, operators, and authorizers to participate in this process. Reviewers are required to recuse themselves from the evaluation of any application for which they have a perceived or real conflict of interest. Each application is independently reviewed and scored by two peer reviewers. Upon completion of peer review, those applications recommended for funding by the peer reviewers will be ranked based on peer review scores and any additional preference points. If needed, a cut score will be established to determine which applicants will be funded based on availability of funds.

#### 8.3 Peer Review Scoring Criteria

Each element of the narrative response of the application will be scored using a 4-point rubric. A score of 4, 3, or 2 is required for every element in order for the application to pass the peer review process. A score of "1" in any area will result in the application being denied. Peer reviewers will examine and score eligible applications with respect to the following:

* Charter School Identity and Governance Structure
* The Education Program
* Targeted Funding for Building a High-Quality Charter School
* Engagement

The actions/activities identified in the Charter School Work Plan/Activities must be detailed, including specific timelines with start and end dates, a designated position or person responsible, and a description of the type of evidence that will be submitted to the CDE, upon request, to verify implementation. Additional instructions for completing the Form 4 – Charter School Work Plan/Activities chart are provided in the Request for Applications Instructions section of this RFA.

#### 8.4 Approval Process

All applications passing the peer review process are subject to further review by the CDE to ensure the applicant is eligible for funding. This may include a review of the charter school petition for verification of lottery preferences, education model, and any other aspects of the petition as needed. The CDE will only recommend funding for those applications with a well-developed, comprehensive, viable application that fully complies with all California state laws and the requirements described in this RFA. Applicants are advised to refer to the Appendix A: PCSGP Start-Up Scoring Rubric for further guidance on developing an appropriate response. If any of the required narrative areas receives a score of "1," that application will not be recommended for funding.

Once the eligibility review and the peer review are complete, CDE staff will notify the applicant of the status of their application. Those applications approved for funding will be provided with additional instructions from the CDE to receive a GAN.

#### 8.5 Sub-grant GAN

The GAN is the official notification to applicants approved for sub-grant funding. The GAN is a legally binding document between the CDE and the sub-grantee. Upon notice of award, sub-grantees must return the GAN with the original signature OR an authenticated e-signature of the designated primary applicant–the president of the board of directors of the nonprofit entity or an executive officer. By signing the GAN, the sub-grantee is accepting all terms, conditions, assurances, and certifications of the PCSGP Start-Up Sub-Grant. A PCSGP Start-Up Sub-Grant has been awarded only after the CDE receives the signed GAN from the sub-grantee.

#### 8.6 Submission of Applications

Applicants responding to this RFA must submit a complete electronic PDF copy and one hard copy of the application packet with all required original signatures, as noted on each application form. The application packet must include complete and unique responses to all narrative elements described within this RFA and all required forms. The electronic copy must be submitted as a single PDF file. The hard copy must contain original ink signatures or authenticated e-signatures on all forms requesting signature. Applications must be submitted with all forms compiled in the order listed on the Form 1 – Application Component Checklist. Applications failing to meet these criteria or those applications with plagiarized or duplicative narrative statements from other sub-grant applications may be deemed ineligible.

The original application packet must be postmarked by **May 19, 2023.** Applications cannot be personally delivered. Mail the original application packet to the address below:

Public Charter Schools Grant Program  
Charter Schools Division

California Department of Education  
1430 N Street, Suite 5401  
Sacramento, CA 95814-5901

The electronic copy, saved as one PDF file, must be emailed to [PCSGP-APPS@cde.ca.gov](mailto:pcsgp-apps@cde.ca.gov), no later than midnight on the application due date listed above. **Submitting only the electronic version of the application packet does NOT constitute meeting the submission deadline.**

#### 8.7 Waivers

If an applicant believes that a waiver is necessary for the successful operation of the charter school, the applicant must have an approved waiver for any State or local laws, regulations, or policies that are generally applicable to charter schools prior to submitting a PCSGP Start-Up Sub-Grant application.

If the charter school previously received a PCSGP Planning sub-grant, or requires a waiver of any federal statutory or regulatory provisions, the applicant must submit a written request to waive a specific statute or regulations, including an explanation or justification for the request, concurrently with, or prior to, submitting the PCSGP Start-Up Sub-Grant application.

#### 8.8 Appeal Process

If an application is deemed ineligible or not approved for funding, applicants may request an appeal of the denial within 30 calendar days following receipt of the letter of denial. The request for appeal must clearly identify a violation of the application review process as determined by State or Federal statues, rules, regulations, or guidelines governing the PCSGP in disapproving applications or failing to comply with California’s approved 2020–23 CSP application or program in whole or part (34 *CFR* 76.401). A request to appeal the denial of a sub-grant award should be addressed to [PCSGP-APPS@cde.ca.gov](mailto:pcsgp-apps@cde.ca.gov).

Appeals shall be limited to the grounds that the CDE failed to correctly apply the standards for reviewing the application as specified in this RFA. The appellant must file a full and complete written appeal, including the issue(s) in dispute, the legal authority or other basis for the appeal position, and the remedy sought. The CDE will not consider incomplete or late appeals. The appellant may not supply any new information that was not originally contained in the original application.

Within 30 days after it receives a valid appeal request, the CDE shall hold a hearing on the record. The Charter Schools Division Director will make the final decision in writing within ten days after the hearing. That decision shall be the final administrative action afforded the appeal. All appeal decisions will be made prior to the approval of the sub-grant.

## Request for Applications Instructions

The following forms must be included as part of the PCSGP Start-Up Sub-Grant application. These forms can be downloaded from the CDE PCSGP Start-Up Sub-Grant RFA web page at <https://www.cde.ca.gov/fg/fo/r1/pcsgppi22rfa.asp>.

Forms 1, 2, 3, 4, and 5 are contained in one Word document, the **PCSGP Start-Up Sub-Grant Application Packet**. Forms 6 and 7 are contained in one Excel workbook, the **PCSGP Start-Up Sub-Grant Budget Proposal Workbook**. All application components must be submitted in the order listed on Form 1 and submitted as one hardcopy and one PDF (see instructions in Section 8.6 Submission of Applications). Prior to submission, both the hardcopy and the PDF application package must be signed by the primary applicant in either blue ink or with an authenticated e-signature.

**Important:** Enter the charter school name in each of the document headers to ensure that all pages of the application can be traced back to the same application package.

### PCSGP Start-Up Sub-Grant Application Packet (Forms 1–5)

#### Form 1 – Application Component Checklist Instructions

Include this completed checklist in the application packet. Enter initials in the corresponding column after verifying the document is included in the application in the order provided.

#### Form 2 – Sub-Grant Application Cover Sheet Instructions

Enter all required information into Form 2 – Sub-Grant Application Cover Sheet. Prior to submission, both the hardcopy and the PDF application packages must be signed by the primary applicant in either blue ink or with an authenticated electronic signature.

#### Form 3 – Sub-Grant Application Narrative Instructions

Insert the applicant’s Sub-Grant Application Narrative. The Sub-Grant Application Narrative is a required element with a **30-page** limit; peer reviewers may not read beyond page 30. Appendix A: PCSGP Start-Up Sub-Grant Scoring Rubric outlines expectations for applicant responses to each narrative element and other requirements of the application. The rubric will also be used as a guide for reviewers during the application review and peer review and scoring process. An application that receives a rating of "1" in any required area will not be recommended for funding. Applicants are advised that the rubric categories may be used to organize the structure of the   
Sub-Grant Application Narrative.

#### Form 4 – Charter School Work Plan/Activities Instructions

Under the Element column, include specific activities and action steps that align to and support the implementation of the associated element. Applicants may include multiple activities that support each element and add additional rows as needed. The page limit for this form is **15 pages**. Under the Start Date and End Date columns, enter beginning and ending dates to complete each activity and action step, using both month and year designations.

Under the Position/Person Responsible column, enter the name and/or position of the person responsible for ensuring that each action step is completed according to the proposed timeline.

Under the Justification column, describe the reasoning for the action step and/or how the action step supports the Work Plan Element.

Under the Evidence of Completion column, describe what will be used as evidence of project completion that will be submitted to the CDE, upon request, for monitoring purposes.

Upon submission of the initial PCSGP Start-Up Sub-Grant Application, leave the Percent Complete column blank. This column is reserved for the reporting in the annual PCSGP APR.

The Charter School Work Plan/Activities chart will be scored as a separate component in the peer review process. Work plan activities and how they are aligned to support the narrative for each element will be considered by the peer reviewers when scoring each section.

An adequate work plan includes the following:

* At least one action or activity is identified for each required element section, each objective identified in the narrative, and on the work plan.
* Actions and activities required to implement each objective, including timeline with specific start and end dates.
* Individual position and/or person responsible for activity completion, and the person responsible for oversight and monitoring.
* Justification for all actions and activities.
* Evidence to be submitted to the CDE to verify progress on the implementation/completion of each specific activity.

##### Form 4 Example – Partial Charter School Work Plan/Activities

| Element | Start/End Dates | Position/ Person Responsible | Justification | Evidence | Percent Complete |
| --- | --- | --- | --- | --- | --- |
| Building A High-Quality Charter School  Professional Development Plan Actions/Activities:   * Teachers will attend a two-day work shop on Mathematics Curriculum | 8/1/21 to 3/31/22 | Principal | All teachers to be trained on how to implement mathematics online curriculum | Agenda, sign-in sheets |  |
| Engagement  Parent and Community Involvement  Actions/Activities:   * Coffee with the Principal Meetings for Parents before school | 9/1/21 to 6/30/22 | Principal | Provide feedback to admin on parent satisfaction | Agenda, meeting notes, instructional materials |  |
| Engagement  Parent and Community Involvement  Actions/Activities:   * Establish School Site Council, hold monthly meetings | 9/1/21 to 6/30/22 | Principal | Meets Title I mandate for funding | Agenda, meeting notes, instructional materials |  |
| Engagement  Notification and Admissions Actions/Activities:   * Set up school web page * Hold open house events | 6/1/21 to 6/30/21 | Outreach Coordinator | Increase parent and community engagement | Live web page, sign-in sheets, flyers, |  |

#### Form 5 – Sub-Grant Conditions and Assurances Instructions

Enter all required information into Form 5 – Sub-Grant Conditions and Assurances. Prior to submission, both the hardcopy and the PDF application packages must be signed by the primary applicant in either blue ink or with an authenticated e-signature.

### PCSGP Start-Up Sub-Grant Budget Proposal Excel Workbook (Forms 6–7)

#### Forms 6 and 7 – Budget Summary and Budget Narrative Instructions

All applicants must complete the Sub-Grant Budget Proposal Excel Workbook including Form 6 – Budget Summary and Form 7 – Budget Narrative. The completed worksheets must be printed and submitted as part of the application submission package. The Sub-Grant Budget Proposal Excel Workbook is available for download at <http://www.cde.ca.gov/fg/fo/r1/documents/pcsgppi22form6-7.xlsx>.

Instructions for completing Forms 6 and 7 are included in the workbook. The budget must address the full term of the sub-grant and be of sufficient size and scope to implement the objectives and activities.

#### Form 6 – Sub-Grant Budget Summary

The Form 6 – Budget Summary may not be modified and broken down further than the object codes provided (e.g., 1000, 2000, 3000, etc.). See Section 5.1 Allowable Use of Funds for additional information regarding allowable and non-allowable use of funds by sub-grant type.

#### Form 7 – Sub-Grant Budget Narrative Instructions

The Form 7 – Budget Narrative must provide detailed descriptions of how the grant funds will be expended, including how they will support actions and activities identified in the narrative response and Form 4 – Charter School Work Plan/Activities.

The Budget Narrative must include a breakdown of expenses including per unit costs, quantity, and justification for the expense. Salaries and benefits must detail who is being paid, cost per unit, and how many units are to be paid. Salaries are limited to teachers, school leaders, and instructional support personnel as defined in Section 5.1 Allowable Use of Funds, and detailed descriptions of staff activities should be included in the Budget Narrative to justify expenses.

Example: School Principal – Salary $20,000 - $5,000 per month for four months to set up new school including hiring staff, recruiting, board meetings, and equipment purchases.

* The Form 7 – Budget Narrative must be grouped by object code series (e.g., 1000, 2000, 3000, etc.).
* The Form 7 – Budget Narrative must include totals by object code series, year, and term of sub-grant.

**IMPORTANT: Be sure that the charter school name appears on all pages.**

## Appendix Instructions

### Governing Board Member Resumes

Include complete resumes for all governing board members identified in the application.

### Evidence of Authorizer Notification

Provide evidence that the charter school has notified their authorizer of their intent to apply for a PCSGP sub-grant.

### Verification of SAM Registration

Provide documentation of active registration in the System of Award Management (SAM) <https://www.sam.gov/SAM/>.

### STD. 204 Payee Data Record

The State of California, Department of Finance Payee Data Record (STD. 204) must be fully completed, signed, and dated with an original signature on the form included with the original sub-grant application and a copy of the form included with the electronic sub-grant application. The Payee Data Record form can be downloaded at the State of California’s Department of General Services web page at <https://www.dgsapps.dgs.ca.gov/osp/StatewideFormsWeb/Forms.aspx>.

Enter “Payee Data Record” in the search box to download an accessible PDF form.

**This document is required for all applicants at the time the application is submitted. Failure to submit will disqualify the applicant from being considered for funding.**

### General Assurances and Certifications (Required for all Applicants)

All PCSGP Start-Up sub-grantees are required to retain a copy of these general assurances at the school site for the charter school records and for audit purposes. The 2022–23 General Assurances and Certifications are located on the CDE Funding Forms web page at <https://www.cde.ca.gov/fg/fo/fm/generalassurances2022-23.asp>.

The applicant is required to print and retain a copy of these specific assurances at the charter school site. The signature on the front of the application indicates acknowledgement and agreement to all assurances.

#### Certifications Regarding Drug-Free Workplace, Lobbying, and Debarment and Suspension

Download the following three forms from the certifications section on the CDE Funding Forms web page at [http://www.cde.ca.gov/fg/fo/fm/ff.asp.](https://www.cde.ca.gov/fg/fo/fm/ff.asp)

* + Drug-Free Workplace
  + Lobbying
  + Debarment and Suspension

Print, sign, and retain at the charter school site. The signature on Form 2 of PCSGP Start-Up Sub-Grant Application Packet (Forms 1–5) indicates acknowledgement and agreement to all assurances and certifications.

## Appendix A: PCSGP Start-Up Sub-Grant Scoring Rubric

### **Preference Points (to be scored by CDE staff)**

| **Quality Opportunity Zone (QOZ)** | **Signed Facility Agreement** | **New High School Program** | **Region with Less than Ten Charter Schools** |
| --- | --- | --- | --- |
| The QOZ and Urban/Rural status has been verified. | The application includes a signed facility agreement. | The applicant’s education program plans to serve grades nine through twelve. | The school is located in a verified region with less than ten charter schools. |
| Points: 1 or 0 | Points: 1 or 0 | Points: 1 or 0 | Points: 1 or 0 |

### 1. Charter School Identity and Governance Structure

The applicant must describe the following:

#### Charter School Identity and Governance Structure

| **1. Charter School Identity and Governance Structure** | **CLEAR CASE  4 POINTS** | **ADEQUATE CASE  3 POINTS** | **LIMITED CASE 2 POINTS** | **INADEQUATE CASE 1 POINT** |
| --- | --- | --- | --- | --- |
| A. Autonomy from Authorizer | The narrative provides a clear description of the flexibility and level of autonomy the school has from the authorizer over budget, expenditures, personnel, and daily operations. The narrative references the Memorandum of Understanding (MOU) between the authorizer and the charter school and the roles and responsibilities of each party. | The narrative provides an adequate description of the flexibility and level of autonomy the school has from the authorizer over budget, expenditures, personnel, and daily operations. The narrative describes a charter school which is autonomous from the authorizer. | The narrative provides a limited description of the flexibility and level of autonomy the school has from the authorizer over budget, expenditures, personnel, and daily operations. | The narrative provides an inadequate description of the level of autonomy the charter school has from the authorizer in terms of budget, expenditures, personnel, and daily operations or the charter school is **NOT** autonomous. |
| B. Partner Organizations  *(Charter schools serving students over 18 years old only)* | The narrative provides a clear description of roles and responsibilities of any partner organizations, administrative, and contractual roles including details on services being provided to the school. | The narrative provides an adequate description of roles and responsibilities of any partner organizations, administrative, and contractual roles. | The narrative provides a limited description of roles and responsibilities of any partner organizations, administrative, and contractual roles. | The narrative provides an inadequate description of roles and responsibilities of any partner organizations. |
| C. Student Demographics | The narrative includes a clear description of the expected student demographics including subgroup data by ethnicity and for educationally disadvantaged students, grade levels or ages, and geographical boundaries to be served. | The narrative includes an adequate description of the expected student demographics including subgroups and grade levels or ages to be served. | The narrative provides a limited description of the expected student demographics including grade levels to be served. | The narrative provides an inadequate description of the expected student demographics. |
| D. School Staffing | The narrative includes a clear description and quantity of staff positions at the school site, certificated and classified, including teachers, counselors, and administrators. The narrative also includes a justification for the level of proposed staffing, and student to staff ratio. | The narrative includes the quantity and an adequate description of staff positions at the school site, certificated and classified. The narrative also includes a student to staff ratio. | The narrative includes a limited description or list of the quantity of staff positions at the school site, certificated and classified, and a student to staff ratio. | The narrative includes an inadequate description or inadequate list of the quantity of staff positions at the school site. NO student to staff ratio is included. |
| E. Governance Structure | The narrative includes a clear organization chart, and clear description of who will manage the grant budget, expenditures, expenditure approval process, and all reporting requirements. | The narrative includes an adequate organization chart, and an adequate description of who will manage the grant budget, expenditures, and approval processes. | The narrative includes a limited description of who will manage the grant budget, and expenditures. | The narrative provides an inadequate description of how the grant budget will be managed, or is primarily through a back-office provider. |
| F. Board Membership  *(Any perceived conflicts of interest may require further clarification to the CDE)* | The narrative includes a clear description of board membership including references to the by-laws, the required number of, and the appointment process for board members. All names and positions on the board are included in the narrative and resumes for all board members are included in the appendices. | The narrative includes an adequate description of board membership including the required number of and the appointment process for board members, and the names and positions on the board. Resumes for all board members are included in the appendices. | The narrative includes a limited description of board membership or only lists the board members names. Resumes for the majority of all listed board members are included in the appendices. | The narrative includes an inadequate description of board membership or only lists the board members names. Resumes for the majority of the listed board members are **NOT** included. |
| G. Business or Personnel Services to be contracted, if applicable  *(Any perceived conflicts of interest may require further clarification to the CDE)* | The narrative includes a clear description of how the school will manage the hiring of personnel and day to day business services. If contractors are to be used, the narrative will describe the justification for the choice of contractors (vetting process). | The narrative includes an adequate description of how the school will manage the hiring of personnel and day to day business services. If contractors are used, the names of the businesses are provided. | The narrative provides a limited description of how the school will manage the hiring of personnel and day to day business services. | The narrative provides an inadequate description, such as only providing a name of the contract service provider and no other information. |
| H. Capacity Building | The narrative provides a clear description of a capacity building plan for school governance and leadership, including how governance and fiscal training will be completed annually for all board members and site leadership. Includes a clear description of how the applicant will maintain financial stability after the sub-grant has ended. | The narrative provides an adequate description of a capacity building plan for school governance and leadership. The narrative also adequately describes how governance and fiscal training will be completed. Includes an adequate description of how the applicant will maintain financial stability after the sub-grant has ended. | The narrative provides a limited description of a capacity building plan for school governance and leadership. The narrative also provides a limited description of governance, fiscal training, and how the applicant will maintain financial stability after the sub-grant has ended. | The narrative provides an inadequate description of a capacity building plan for school governance and leadership. The narrative does not include governance, fiscal training, or how the applicant will maintain financial stability after the sub-grant has ended. |

### 2. Education Program

The applicant must describe the following:

#### Education Program

| 1. **Education Program** | **CLEAR CASE  4 POINTS** | **ADEQUATE CASE 3 POINTS** | **LIMITED CASE  2 POINTS** | **INADEQUATE CASE  1 POINT** |
| --- | --- | --- | --- | --- |
| A. Uniqueness of the Program | The narrative includes a clear description of the education program including how the program is unique to the area where the school is located. Information from multiple neighboring schools is used for comparison. | The narrative includes an adequate description of the education program including how the program is unique to the area where the school is located. Information from one neighboring school is used for comparison. | The narrative includes a limited description of the education program including how the program is unique to the area. No comparison information is provided. | The narrative includes an inadequate description of the education program that does not include how the program is unique to the area. |
| B. Curriculum and Instructional Practices | The narrative includes a clear description of the curriculum including the subjects and academic content to be taught at the school. Instructional practices are described in detail including the techniques or methodology used by teachers to help engage students and increase student learning. Differentiated instruction is evident in the description. | The narrative includes an adequate description of the curriculum subjects and academic content to be taught at the school. Instructional practices are described with adequate detail including the techniques or methodology used by teachers with limited description of student engagement and differentiation. | The narrative includes a limited description or list of curriculum subjects to be taught at the school. Instructional practices are described with limited detail including the techniques or methodology used by teachers to increase student learning. | The narrative includes an inadequate description or inadequate list of curriculum subjects to be taught at the school. Instructional practices are listed. |
| C. Research Based Educational Program | The narrative provides a clear justification for the school education program including evidence to support how it will improve academic success for the students being served by the school. The narrative or appendix includes multiple citations of evidence-based research supporting the education program choice. | The narrative provides an adequate justification for the school education program including evidence to support how it will improve academic success for the students being served by the school. The narrative or appendix includes one citation of evidence-based research to support the education program choice. | The narrative provides a limited justification for the school education program including one piece of uncited evidence to support how it will improve academic success for the students being served by the school. | The narrative provides an inadequate description of the school education program with no evidence-based research to support the education program choice. |
| D. Schoolwide Performance Objectives and Methods of Assessment | The narrative provides clear performance objectives for the first five years of operation and a clear description of how the objectives will be assessed each year. The narrative includes multiple measures for assessing progress and objectives are aligned with the Quality Schooling Framework State Priorities. | The narrative provides an adequate list of performance objectives for the first five years of operation and an adequate description of the multiple measures for assessing progress. The objectives are aligned with the Quality Schooling Framework State Priorities. | The narrative provides a limited list of performance objectives and a limited description of the assessment measures for assessing progress. The majority of objectives are aligned with the Quality Schooling Framework State Priorities. | The narrative provides an inadequate list of performance objectives and a list of assessment methods.  OR  The majority of objectives are NOT aligned with the Quality Schooling Framework State Priorities. |
| E. Monitoring of  Subgroup Academic Achievement | The narrative provides clear plans on how subgroup academic achievement will be monitored using multiple measures, at multiple benchmark dates, including formal and informal assessment data. Includes a clear description of how academic assessment data will be used to inform instruction. | The narrative provides adequate plans on how subgroup academic achievement will be monitored using multiple measures, at multiple benchmark dates. Includes an adequate description of how academic assessment data will be used to inform instruction. | The narrative provides a limited plan to monitor subgroup academic achievement using multiple measures. | The narrative provides an inadequate plan to monitor subgroup academic achievement using a single academic achievement indicator. |

### Targeted Funding for Building a High-Quality Charter School

### 3. Conditions of Learning Part 1

The applicant must describe the following:

#### Conditions of Learning Part 1

| **3. Conditions of Learning Part 1** | **CLEAR CASE 4 POINTS** | **ADEQUATE CASE 3 POINTS** | **LIMITED CASE 2 POINTS** | **INADEQUATE CASE 1 POINT** |
| --- | --- | --- | --- | --- |
| A. Teacher Recruitment and Retention | The narrative provides a clear plan for recruiting and retaining fully credentialed teachers and a plan to ensure all employees complete mandatory background checks. | The narrative provides an adequate plan for recruiting and retaining fully credentialed teachers including mandatory background checks. | The narrative provides a limited plan for recruiting teachers or retaining fully credentialed teachers. | The narrative provides an inadequate plan for teacher recruitment and retention, such as only providing a list of resources for recruiting. |
| B. Professional Development Plan | The narrative provides a clear Professional Development Plan, including a timeline, which is in alignment with the philosophy, goals, and objectives of the school. | The narrative provides an adequate Professional Development plan, including a timeline, the majority of which is aligned with the philosophy, goals, and objectives of the school. | The narrative provides a limited Professional Development Plan or a list of professional development activities with a timeline, which is somewhat aligned with the philosophy, goals, and objectives of the school. | The narrative provides an inadequate Professional Development Plan, such as a list of professional development activities without a timeline OR the activities/plan does NOT align with the philosophy, goals, or objectives of the school. |
| C. School Culture and Climate | The narrative provides a clear description of the culture and climate to be developed at the school with a clear plan for developing it as part of the Professional Development Plan. | The narrative provides an adequate description of the culture and climate to be developed at the school with an adequate plan for developing it. | The narrative provides a limited description of the culture and climate to be developed at the school but has no clear plan for developing it. | The narrative provides an inadequate description of the culture and climate at the school. |
| D. Student Record Retention and Transfer Processes | The narrative provides a clear description of the student record retention and transfer processes including any technology to be used for this purpose, a timeline for processing records requests, and process to ensure correct academic placement for transfer students. | The narrative provides an adequate description of the student record retention and transfer processes including the name of a software vendor to be used and timeline. | The narrative provides a limited description of the student record retention and transfer processes. | The narrative provides an inadequate description, such as identifying the software program only and not the process. |
| E. Equal Access to Technology for All Students | The narrative provides a clear description of how students who do not have access to technology outside of school will be able to access the same resources as those with technology resources outside of school. | The narrative provides an adequate description of how students who do not have access to technology outside of school will be able to access the same resources as those with technology resources outside of school. | The narrative provides a limited description or list of alternative resources for students who do not have access to technology outside of school. | The narrative provides an inadequate description, such as identifying technology resources for students to access during school. |
| F. Instructional Improvement Systems | The narrative provides a clear description of instructional improvement technology-based tools or strategies to be used by administration, staff, and teachers to manage continuous improvement of ALL student subgroups. | The narrative provides an adequate description of instructional improvement technology-based tools or strategies to be used by administration, staff, and teachers to manage continuous improvement of ALL student subgroups. | The narrative provides a limited description or list of instructional improvement strategies and tools to be used by administration, staff, and teachers to manage continuous improvement for MOST student subgroups. | The narrative provides an inadequate description, such as only listing instructional improvement tools OR the tools are not designed to support continuous improvement OR the tools do not meet the needs of multiple student subgroups. |

### 4. Conditions of Learning Part 2

The applicant must describe the following:

#### Conditions of Learning Part 2

| **4. Conditions of Learning Part 2** | **CLEAR CASE 4 POINTS** | **ADEQUATE CASE 3 POINTS** | **LIMITED CASE 2 POINTS** | **INADEQUATE CASE 1 POINT** |
| --- | --- | --- | --- | --- |
| A. Compliance with IDEA | The narrative provides a clear description of how the school will fully comply with sections 613(a)(5) and 613(e)(1)(B) of the IDEA. A description of an MOU (if applicable) for services is briefly described. | The narrative provides an adequate description of how the school will fully comply with sections 613(a)(5) and 613(e)(1)(B) of the IDEA. An MOU for services (if applicable) is mentioned. | The narrative provides a limited description, such as only discussing an MOU for services (if applicable). | The narrative provides an inadequate description OR lacks any details about an MOU for services (if applicable). |
| B. Use of grant funds to support educationally disadvantaged students | The narrative provides a clear description of how grant funds will be used to support the needs of educationally disadvantaged students. The description addresses all of the following: Assessment, Curriculum, Instruction, Equity, and Professional Learning. The description is reflected in the budget narrative. | The narrative provides an adequate description of how grant funds will be used to support the needs of educationally disadvantaged students. The description addresses most of the following: Assessment, Curriculum, Instruction, Equity, and Professional Learning. The description is reflected in the budget narrative. | The narrative provides a limited description or list of how grant funds will be used to support the needs of educationally disadvantaged students in some of the following areas: Assessment, Curriculum, Instruction, Equity, and Professional Learning. | The narrative provides an inadequate description or list of how grant funds will be used to support the needs of educationally disadvantaged students AND they are not tied to any of the required elements. |
| C. Reclassification of English Learners | The narrative provides a clear description of the process for the academic improvement and reclassification of English Learners. | The narrative provides an adequate description of the process for academic improvement and reclassification of English Learners. | The narrative provides a limited description of the process for reclassification of English Learners. | The narrative provides an inadequate description or list of assessments to be used to evaluate English Learners. |
| D. Equal access to enrollment at the school and participation in school programs | The narrative provides a clear description of how educationally disadvantaged students will be given equal access to enroll at the charter school and participate in school programs including after school programs. Transportation needs are addressed in the narrative. | The narrative provides an adequate description of how educationally disadvantaged students will be given equal access to enroll at the charter school and participate in school programs including after school programs. | The narrative provides a limited description of how educationally disadvantaged students will be given equal access to enroll at the charter school and participate in after school programs | The narrative provides an inadequate description of how educationally disadvantaged students will be given equal access to enroll at the charter school OR participate in after school programs. |

### 5. Engagement

The applicant must describe the following:

#### Engagement

| **5. Engagement** | **CLEAR CASE 4 POINTS** | **ADEQUATE CASE 3 POINTS** | **LIMITED CASE**  **2 POINTS** | **INADEQUATE CASE 1 POINT** |
| --- | --- | --- | --- | --- |
| A. Parent and Community Involvement | The narrative provides a clear description of how parents AND the community will have input and involvement with the following:   * Planning, program design, and implementation of the school; * Developing the school culture and climate; and * Receiving feedback on student progress and achievement results. | The narrative provides an adequate description of how parents AND the community will have input and involvement with the following:   * Planning, program design, and implementation of the school; * Developing the school culture and climate; and * Receiving feedback on student progress and achievement results. | The narrative provides a limited description or list of ways how parents will have input and involvement with the following:   * Planning, program design, and implementation of the school; * Developing the school culture and climate; and * Receiving feedback on student progress and achievement results. | The narrative provides inadequate descriptions or is missing descriptions of the required elements for parental input and involvement. |
| B. On-going Parental Involvement | The narrative provides a clear process to ensure on-going parental involvement. | The narrative provides an adequate process to ensure on-going parental involvement. | The narrative provides a limited description or list of activities only. | The narrative provides an inadequate description or inadequate list of activities to ensure on-going parental involvement. |
| C. Absenteeism and Dropout Rates | The narrative provides a clear description of how grant funds will be used to address absenteeism, middle or high school dropout rates, and high school graduation rates (if applicable). The description is reflected in the budget narrative. | The narrative provides an adequate description of how grant funds will be used to address absenteeism, middle or high school dropout rates, and high school graduation rates (if applicable). The description is reflected in the budget narrative. | The narrative provides a limited description or list of activities to address absenteeism, middle or high school dropout rates, and high school graduation rates (if applicable). | The narrative provides an inadequate description or list of activities, such as only addressing absenteeism OR dropout rates OR graduation rates (if applicable). |
| D. Student Discipline and Safety | The narrative describes in detail how grant funds will be used to develop intervention programs to address the following:   * Suspension and expulsion rates; and * School safety and connectedness issues.   The description is reflected in the budget narrative. | The narrative adequately describes how grant funds will be used to develop intervention programs to address the following:   * Suspension and expulsion rates; and * School safety and connectedness issues.   The description is reflected in the budget narrative. | The narrative provides a limited description or list of activities to address the following:   * Suspension and expulsion rates; and * School safety and connectedness issues. | The narrative provides an inadequate description or inadequate list of activities, such as only addressing suspension and expulsion rates OR school safety and connectedness issues. |
| E. Notification and Admissions | The narrative provides a clear description of the following:   * How the community will be informed about the charter school and given equal opportunity to attend; * Admission preferences approved by the authorizer; and * Admission and public random drawing process. | The narrative provides an adequate description of the following:   * How the community will be informed about the charter school and given equal opportunity to attend; * Admission preferences approved by the authorizer; and * Admission and public random drawing process. | The narrative provides a limited description or list of activities for the following:   * How the community will be informed about the charter school and given equal opportunity to attend; * Admission preferences approved by the authorizer; and * Admission and public random drawing process. | The narrative provides an inadequate description or list that does not include all required activities. |

### 6. Form 4 – Charter School Work Plan/Activities Alignment

The applicant must describe how the Work Plan/Activities support building a high-quality charter school in the following areas:

#### Form 4 – Charter School Work Plan/Activities Alignment

| **6. Form 4** – **Work Plan/Activities Alignment** | **CLEAR CASE 4 POINTS** | **ADEQUATE CASE 3 POINTS** | **LIMITED CASE 2 POINTS** | **INADEQUATE CASE 1 POINT** |
| --- | --- | --- | --- | --- |
| A. Governance (G) | Activities identified in the work plan are clear and align to support the full plan. Activities identified include specific implementation dates, and identify who is responsible and what evidence will be provided. | Activities identified in the work plan provide adequate support of the plan identified in the narrative. Activities identified include range of implementation dates, but do not identify who is responsible and/or what evidence will be provided. | Activities identified in the work plan are limited and do not align or support the full plan identified in the narrative. Activities identified include range of implementation dates. | Activities identified are inadequate and do not include dates, who is responsible, or evidence. |
| B. Educational Program (EP) including Monitoring Student Academic Achievement (MSAA) | Activities identified in the work plan are clear and align to support the full plan. Activities identified include specific implementation dates, and identify who is responsible and what evidence will be provided. | Activities identified in the work plan provide adequate support of the plan identified in the narrative. Activities identified include a range of implementation dates, but do not identify who is responsible and/or what evidence will be provided. | Activities identified in the work plan are limited and do not align or support the full plan identified in the narrative. Activities identified include a range of implementation dates. | Activities identified are inadequate and do not include dates, who is responsible, or evidence. |
| C. Conditions of Learning Part 1   * Teacher Recruitment (TR) * Professional Development (PD) | Activities identified in the work plan are clear and align to support the full plan. Activities identified include specific implementation dates, and identify who is responsible and what evidence will be provided. | Activities identified in the work plan provide adequate support of the plan identified in the narrative. Activities identified include a range of implementation dates, but do not identify who is responsible and/or what evidence will be provided. | Activities identified in the work plan are limited and do not align or support the full plan identified in the narrative. Activities identified include a range of implementation dates. | Activities identified are inadequate and do not include dates, who is responsible, or evidence. |
| D. Conditions of Learning Part 2   * Address needs of students with disabilities and English Learners | Activities identified in the work plan are clear and align to support the full plan. Activities identified include specific implementation dates, and identify who is responsible and what evidence will be provided. | Activities identified in the work plan provide adequate support of the plan identified in the narrative. Activities identified include a range of implementation dates, but do not identify who is responsible and/or what evidence will be provided. | Activities identified in the work plan are limited and do not align or support the full plan identified in the narrative. Activities identified include a range of implementation dates. | Activities identified are inadequate and do not include dates, who is responsible, or evidence. |
| E. Engagement   * Parent and Community Involvement (PCI) * Notification and Admissions (NA) | Activities identified in the work plan are clear and align to support the full plan. Activities identified include specific implementation dates, and identify who is responsible and what evidence will be provided. | Activities identified in the work plan provide adequate support of the plan identified in the narrative. Activities identified include a range of implementation dates, but do not identify who is responsible and/or what evidence will be provided. | Activities identified in the work plan are limited and do not align or support the full plan identified in the narrative. Activities identified include a range of implementation dates. | Activities identified are inadequate and do not include dates, who is responsible, or evidence. |

## Appendix B: Definitions of PCSGP Terms

**Approved Charter:** A charter petition that has been approved by an authorizing agency for a public school in California. Approval must be reflected in formal minutes of the authorizing agency to document the approval of the charter petition.

**Attendance Area of a School:** A locally determined geographic designation that establishes boundaries for school enrollment.

* For the purposes of the CSP (CSP) grant and in accordance with the Elementary and Secondary Education Act (ESEA) Section 1113:
  1. The term ‘school attendance area' means, in relation to a particular school, the geographical area in which the children who are normally served by that school reside; and
  2. The term ‘eligible school attendance area' means a school attendance area in which the percentage of children from low-income families is at least as high as the percentage of children from low-income families served by the local educational agency as a whole.
  3. All eligible applicants must meet all physical location requirements under   
     AB 1505, 1507, and *Anderson Union High School District v Shasta Secondary Home School* decision.

**Authenticated E-Signature:** A **specific type of electronic signature created using software that includes a security procedure designed to verify that a signature is that of a specific person.**

**Authorizing Agency:** A California school district, county office of education (COE), or the State Board of Education (SBE) that has approved a charter petition, directly or on appeal.

**Charter Developer:** An individual or group of individuals (including a public or private nonprofit organization), which may include teachers, administrators and other school staff, parents, or other members of the local community in which a charter school project will be carried out (ESEA Section 4310[5]).

**Charter Management Organization (CMO):** Charter management organization means a nonprofit organization that operates or manages a network of charter schools linked by centralized support, operations, and oversight (ESEA Section 4310[3] and *EC* Section 47604).

**Charter School:** A public school that provides instruction in any grades kindergarten through twelve and is approved by an authorized public chartering agency as a charter school under the provisions of the federal ESEA Section 4310(2) and the *EC* Section 47600 et. seq.

**Charter Schools Program (CSP):** A United States Department of Education administered discretionary grant program. Awarded states distribute sub-grants to charter school developers to assist in the development and initial operations of newly established or conversion charter schools.

**Classroom-based:** A program that requires pupils to be engaged in educational activities under the immediate supervision and control of an employee of the charter school who possesses a valid teaching certification. (Also referred to as site-based.) See *EC* Section 47612.5(e)(1).

**Conflict of Interest:** Charter school and nonprofit public benefit corporation board members are regarded as governmental representatives and as such are subject to provisions of the Fair Political Practices Act and federal regulations found in 34 *Code of Federal Regulations* (*CFR*) Section 75.525.

**Continuing Charter School:** A charter school that the California Department of Education (CDE) has deemed to have met the requirements of *EC* Section 47653.

**Conversion School:** A traditional public school that converts to charter status under the processes established in *EC* Section 47605.

**County District School (CDS) Code:** The CDS (County-District-School) code system is an administrative convenience designed to provide the CDE, the Department of Finance, and postsecondary institutions with a basis for tracking schools. This 14-digit code is the official, unique identification of a school within California. The first two digits identify the county, the next five digits identify the school district, and the last seven digits identify the school.

**Direct Funded:** A funding designation under which a charter school receives funds and applies for grants independently from the school’s chartering authority. A charter school annually selects its funding status via the Charter School Annual Information Update distributed by the CDE. (Also, see **Locally Funded**.)

**ED:** The Federal Department of Education.

**Educationally Disadvantaged Students (EDS):** Those students identified as Socioeconomically Disadvantaged, English Learners, and Foster and Homeless Youth. This data should be reflected in the California Longitudinal Pupil Achievement Data System (CALPADS) Fall Census Day data.

**Education Management Organization (EMO):** Education management organizations (EMOs) are largely for-profit firms that may provide “whole-school operation” services to public school agencies.

**Elementary and Secondary Education Act (ESEA):** The Elementary and Secondary Education Act of 1965. ESEA is the primary federal legislation for primary (elementary) and secondary education in the United States.

**Every Student Succeeds Act (ESSA):** The Every Student Succeeds Act was signed into law on December 10, 2015, and reauthorized the ESEA.

**Expand:** The term “Expand,” when used with respect to a high-quality charter school, means to significantly increase enrollment or add one or more grades to the high-quality charter school.

**Grant Award Notification (GAN):** A legally binding document between the CDE and the grantee or sub-grantee for purposes of this Request for Applications (RFA) and the Public Charter Schools Grant Program (PCSGP). An official document signed by an authorized official stating the amount, terms, and conditions of the grant award.

**Grantee:** For the purposes of this RFA and the PCSGP, the CDE is the “grantee.”

**Implementation Phase:** A period of time between when the grant recipient’s school begins serving students and the end of the grant period. If the school is operational and serving students at the time of award, then it starts the grant period in the implementation phase.

**Local educational agency (LEA):** A COE, school district, state special school, or direct-funded charter school as described in *EC* Section 47651.

**Locally Funded:** A funding designation that provides funding for a charter school through the school’s chartering authority, or other LEA. A charter school annually selects its funding status via the Charter School Annual Information Update distributed by the CDE. (Also, see **Direct Funded**.)

**Lottery**: See Public Random Drawing.

**Newly Established Charter School:** For purposes of the PCSGP grant award, a newly established charter school is defined as:

* A charter school that has not operated as a private school or under another SBE number, **and** has not operated as a charter school or nonclassroom resource center serving students prior to July 1 of the previous fiscal year.

**OR**

* An existing traditional school that converts to a charter school.

*EC* Section 47602 disallows the conversion of private schools to charter schools.

Per AB 1505, existing charter schools acquiring a new charter-authorizing agency are considered a continuing charter school and are not eligible for PCSGP funds. Charter schools that close and then reopen with a new charter number and CDS code are not eligible for PCSGP funds. Neither the merging of two schools nor the separating of one school results in establishing a new school.

Please note that if a school that previously received PCSGP funding closes and a new school opens in the same location, the latter must demonstrate autonomy from the previous school in order to be eligible for a PCSGP sub-grant. Such autonomy is demonstrated by the following criteria:

* + 1. New primary applicant and nonprofit agency
    2. New approved charter petition
    3. New governing authority
    4. New administration
    5. Different educational program
    6. New teachers and staff

**Nonclassroom-Based:** A program that does not meet the requirements defined for a classroom-based program. (Also referred to as non-site based.) See *EC*   
Section 47612.5(e)(2).

**Non-Federal Entity:** A state, local government, Indian Tribe, institution of higher education (IHE) or nonprofit organization that carries out a Federal award as a recipient or sub-recipient.

**Pass-through entity:** A non-Federal entity that provides a sub-award to a sub-recipient to carry out part of a federal program.

**Planning Phase:** For new charter schools not yet serving students, the planning phase ends on the day prior to the first day of instruction (including summer school programs). The planning phase may not exceed 18 months.

**Primary Applicant**: (Formerly: Authorized Agent) A school board president or lead petitioner. The primary applicant must verify and sign all official documents related to the grant award.

**Procurement:** Any formal requisition process used to acquire goods and services that may involve the use of purchase orders, invoices, contracts, and approvals by any level of hierarchy at the grantee’s agency. Numerous requirements apply to procurements funded by PCSGP funds; please see Appendix C: Procurement for additional information.

**Public Charter Schools Grant Program (PCSGP):** A federal discretionary grant program administered by the CDE. The CDE distributes sub-grants to charter school developers to assist in the development and initial operations of newly established or conversion charter schools.

**Public Random Drawing (Lottery):** A random selection process used to admit applicants to a charter school when the number of applicants exceeds a school’s enrollment capacity.

**Replicate:** The term “Replicate,” when used with respect to a high-quality charter school, means to open a new charter school, or new campus of a high-quality charter school, based on the educational model of an existing high-quality charter school, under an existing charter or an additional charter. (ESEA Section 4310(9))

**Secondary school or students**: A school that is composed of any combination of seventh through twelfth grades. A secondary student is any student enrolled in grades seven through twelve.

**Single Audit:** All non-Federal entities expending $750,000 or more in **combined** federal funds (e.g., PCSGP and Title I funds, or American Recovery and Reinvestment Act [ARRA] funds) in a single year are required by federal law to obtain and submit a Single Audit to the Federal Audit Clearinghouse. PCSGP recipients required to file federal Single Audits must submit a copy of the reporting package to the CDE Charter Schools Division as a PCSGP performance benchmark. Further information may be found in the electronic *CFR* (<https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200>).

Sub-Grantees will access the Federal Audit Clearinghouse web page to submit their Single Audit at <https://facweb.census.gov/uploadpdf.aspx>.

**State Educational Agency (SEA):** For the purposes of this RFA, the SEA is the SBE.

**Sub-Grantee:** For the purposes of this RFA, sub-grantees are charter schools awarded a PCSGP Start-Up Sub-Grant.

**Sub-Recipient:** A non-Federal entity that receives a sub-award from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program.

**Unique Entity Identifier (UEI):** Required in accordance with 2 *CFR* Part 25 when applying for, or receiving, federal awards. The UEI is the new 12-digit alphanumeric identifier that will be provided by SAM registration to all entities who register to do business with the federal government. UEI is the identifier which is replacing the use of the DUNS beginning April 4, 2022. Additional information regarding the transition to UEI can be found at <https://sam.gov/content/duns-uei>.

**Virtual or Online Charter:** A charter school in which at least 80 percent of teaching and student interaction occurs via the internet.

## Appendix C: Procurement

All Public Charter Schools Grant Program (PCSGP) Start-Up sub-grantees are required to develop and maintain a system for the administration of the procurement of goods and services acquired with federal funds. This requirement is provided for in the following passage from the *Code of Federal Regulations* (*CFR*) at <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200>.

Please note that a PCSGP sub-grantee is referred to as the “sub-recipient” or the “non-Federal entity” for the purpose of the General Procurement Standards (2 *CFR*  200.318(a-d)):

1. The non-Federal entity must use its own documented procurement procedures which reflect applicable state, local, and tribal laws and regulations, provided that the procurements conform to applicable Federal law and the standards identified in this part.
2. Non-Federal entities must maintain oversight to ensure that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.
3. (1) The non-Federal entity must maintain written standards of conduct covering conflicts of interest and governing the actions of its employees engaged in the selection, award, and administration of contracts. No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a Federal award if he or she has a real or apparent conflict of interest. Such a conflict of interest would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract. The officers, employees, and agents of the non-Federal entity may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts. However, non-Federal entities may set standards for situations in which the financial interest is not substantial or the gift is an unsolicited item of nominal value. The standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the non-Federal entity.

(2) If the non-Federal entity has a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian tribe, the non-Federal entity must also maintain written standards of conduct covering organizational conflicts of interest. Organizational conflicts of interest mean that because of relationships with a parent company, affiliate, or subsidiary organization, the non-Federal entity is unable or appears to be unable to be impartial in conducting a procurement action involving a related organization.

### Purpose

The purpose of procurement regulations is to encourage best practices in the use of federal funds to acquire products and services, while maintaining the public’s trust. Best practices fulfill policy objectives while promoting transparency, accountability, effective management, and competition.

### Definition

Procurement refers to the practice of requisition, or the formal demand for goods and services. This includes, but is not limited to, the use of purchase orders, invoices, and the preparation of contracts, each of which is reviewed for approval at various levels of hierarchy within an agency.

Procurement does not include small purchases that typically would not be reviewed by any system of hierarchy for approval. However, the lack of an organized procurement system does not exempt your organization from requirements tied to purchases that would otherwise be considered procurement.

The following is an example of procurement: a school purchases a large quantity of textbooks through the submission of a purchase order and subsequent receipt of an invoice, both of which are reviewed and approved by the school’s Contracting Officer.

The following is not an example of procurement: an administrator uses a petty cash fund to purchase lunch for a group of teachers at a professional development seminar.

### Requirements

In order to comply with regulations, sub-recipients must:

* Develop and maintain on-file, conflict of interest policies for all employees;
* Develop and maintain on-file, procedures for protest and dispute resolution;
* Understand and follow the Methods of Procurement, defined by the Uniform Grant Guidance <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D/subject-group-ECFR45ddd4419ad436d/section-200.320>; and
* Understand and comply with Standard Procurement Procedures.

If the sub-recipient fails to comply with these requirements in procuring a good or service, the expense may be prohibited and the California Department of Education (CDE) may invoice the sub-recipient for any funds allocated to the expense.

Each of these requirements will be described in detail below.

#### Written Conflict of Interest Policies

Written conflict of interest policies, at a minimum, must address the criteria below (verification that a sub-recipient has established these policies may be requested at any time by CDE staff):

No employee, officer, or agent shall participate in the selection of, award of, or administration of a contract supported by federal funds if a conflict of interest, real or apparent, would be involved. Such a conflict would arise when:

* The employee, officer, or agent, any member of his or her immediate family, his or her partner, or
* An organization, which employs, or is about to employ any of the above has a financial or other interest in the firm selected for award.

The officers, employees, or agents of the sub-recipient will neither solicit, nor accept gratuities, favors, or anything of monetary value from contractors, potential contractors, or parties to sub-agreements. Sub-recipients may set minimum rules where the financial interest is not substantial, or the gift is an unsolicited item of nominal intrinsic value.

To the extent permitted by state or local law or regulations, such standards of conduct will provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents, of the sub-recipient.

If the sub-recipient has a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian Tribe, the sub-recipient must also maintain written standards of conduct covering organizational conflict of interest.

The standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the sub-recipient.

The sub-recipient or applicant for a federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Failure to make required disclosures can result in any of the remedies described in <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-B/section-200.113>.

#### Procedures for Protests and Disputes

The sub-recipient alone must be responsible, in accordance with good administrative practice and sound business judgment, for the settlement of all contractual and administrative issues arising out of procurements. These issues include, but are not limited to, source evaluation, protests, disputes, and claims.

Violations of law will be referred to the local, state, or Federal authority having proper jurisdiction.

#### Methods of Procurement

Every action of procurement must fall within one of three defined methods of procurement. The methods are:

* Procurement by micro-purchases
* Procurement by small purchases
* Procurement by sealed bids

Each will be described in greater detail below.

For any method of procurement, time, and material type contracts are only permissible after determination and documentation that no other contract is suitable, and the contract must include a ceiling price that the contractor exceeds at its own risk.

##### Micro-purchase

Procurement by micro-purchase is the acquisition of supplies or services, where the aggregate dollar amount of which does not exceed $10,000. Micro-purchases may be awarded without soliciting competitive quotations if the sub-recipient considers the price to be reasonable (<https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200#200.320>).

##### Small Purchases

Small purchase procedures are those relatively simple and informal procurement methods for securing services, supplies, or other property that does not cost more than the Simplified Acquisition Threshold ($10,000–$250,000). If small purchase procedures are used, price or rate quotations must be obtained from an adequate number of qualified sources.

##### Sealed Bids

Procurement by sealed bids requires publicly solicited bids, and the firm fixed price contract awarded is the lowest in price.

An invitation for bids is prepared and is used to publicly solicit two or more known vendors or contractors. The invitation for bids must include a comprehensive description for the goods or services desired, and stipulate a time and place when all bids will be publicly opened. Potential bidders must be given sufficient time to prepare a response prior to the opening of bids.

A fixed price written contract is awarded to the bidder whose bid is the lowest in price and meets all conditions of the invitation for bids. Any or all bids may be rejected if there is a sound, documented reason.

#### Standard Procurement Procedures

For any procurement method used above, sub-recipients should establish and adhere to a standard set of procedures for processing procurements. Any procedures established by the sub-recipient must incorporate key items from federal regulations, which are summarized in the sections below. The sections include:

* Maintain Records
* Define the Goods and Services
* Pre-Bid/Proposal Review and Analysis
* Establish Criteria for Vendors/Contractors
  + Suspended and Debarred Parties
* Cost/Price Analysis during Bidding and Proposals
* Required Contract Provisions
  + Bonding Requirements for Construction of Facility Improvement

##### Maintain Records

In addition to standards and policies, sub-recipients are required to document specific actions for any procurement. These specific actions include, but may not be limited to:

* Rationale for the method of procurement
* Selection of contract type
* Selection or rejection of a contractor/vendor, and supporting rationale
* Basis for a contract price

To ensure compliance with regulations, it is best to document each of these actions as they occur within any given instance of procurement.

##### Pre-Bid/Proposal Review and Analysis

Before a sub-recipient may solicit bids or proposals, or make small purchases, the sub-recipient must perform the following analysis for all procurements:

* Review proposed procurements to avoid unnecessary or duplicative items
* Provide consideration for consolidating or breaking out procurements to obtain a more economical purchase
* Analyze options for lease versus purchase where appropriate
* Conduct any other appropriate analysis to determine the most economical approach
* Generate and document independent estimates for the price of proposed procurements

##### Establish Criteria for Contractors/Vendors

Before moving forward with small purchases, proposals, or bids, the sub-recipient should establish criteria for potential contractors and vendors. This may include drafting a list of potential bidders in preparation of an invitation for bids. Contractors/Vendors should possess the ability to perform successfully under the terms and conditions of a proposed procurement. In drafting criteria, the sub-recipient must consider the contractor/vendor’s:

* Integrity
* Compliance with public policy
* Record of past performance
* Financial and technical capacity

Any list of potential contractors/vendors that is generated must be current and include enough qualified sources to ensure maximum open and free competition. Sub-recipients are prohibited from placing unreasonable requirements on potential contractors/vendors that would restrict full and open competition.

Qualified sources should also include small, minority, or women’s business enterprises, or labor surplus area firms whenever possible. For more information on obligations regarding contracts with small, minority, women’s business enterprises, or labor surplus area firms, please see the relevant section below.

Qualified sources may include faith-based organizations. For more information on obligations regarding contracts please refer to the Uniform Grant Guidance located at <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200>.

##### Suspended and Debarred Parties

The provisions of 2 *CFR* Part 180 (<https://www.ecfr.gov/current/title-2/subtitle-A/chapter-I/part-180?toc=1>) restrict Federal awards, sub-awards and contracts with certain parties that are debarred, suspended or otherwise excluded from or ineligible for participation in Federal programs or activities.

Non-Federal entities, which include sub-recipients, may not solicit goods or services from any party that is debarred or suspended or is otherwise excluded from or ineligible for participation in federal assistance programs under Executive Order 12549, “Debarment and Suspension.”

Non-Federal entities, which include sub-recipients, are required to vet any potential contractor for suspension or debarment before a contract is awarded or goods and services are exchanged. A list of suspended and debarred parties may be accessed through the Exclusions page (<https://sam.gov/content/exclusions>) at the System for Award Management website.

##### Cost/Price Analysis During Bidding and Proposals

Sub-recipients are required to conduct cost or price analysis for every procurement action. The type and degree of analysis will vary depending on the situation; at a minimum, the following analyses are required:

* Sub-recipients must make independent estimates before receiving bids or proposals for all types of procurement.
* A cost analysis must be performed when the potential contractor/vendor is required to submit the elements of his or her estimated cost, such as under an architectural engineering services contract.
* A cost analysis must be performed when adequate price competition is lacking, and for sole-source procurements (including noncompetitive proposals).
* A cost analysis must be performed for contract modifications or change orders, unless price reasonableness can be established on the basis of catalog or market price of a product sold in substantial quantities to the general public, or based on prices set by law or regulation.
* A price analysis will be used in all other instances to determine the reasonableness of the proposed contract price.

##### Required Contract Provisions

All contracts funded by the grant must include the provisions listed below, if the indicated condition is applicable. Federal agencies are permitted to require changes, remedies, changed conditions, access and records retention, suspension of work, and other clauses approved by the Office of Federal Procurement Policy.

* For time and material type contracts–A ceiling price that the contractor exceeds at its own risk.
* For all contracts–Notice of CDE requirements pertaining to reporting.
* For all contracts–Retention of all required records for five years after sub-recipients make final payments and all other pending matters are closed.
* For all contracts–Access by the CDE, the Federal Department of Education, the Comptroller General of the United States, or any of their duly authorized CDE Representatives’ access to any books, documents, papers, and records of the contractor which are directly pertinent to that specific contract for the purpose of making audit, examination, excerpts, and transcriptions.
* For all contracts–Mandatory standards and policies relating to energy efficiency, which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act (Public Law 94–163, 89 Statute 871).
* For contracts that exceed the simplified acquisition threshold of $250,000, administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as may be appropriate.
* For all contracts in excess of $250,000–Compliance with all applicable standards, orders, or requirements issued under Section 306 of the Clean Air Act (42 *U.S.C.* 1857[h]), Section 508 of the Clean Water Act (33 *U.S.C.* 1368), Executive Order 11738, and Environmental Protection Agency regulations (40 *CFR* part 15).
* For contracts in excess of $10,000–Termination for cause and for convenience by the grantee including the manner by which it will be affected and the basis for settlement.

##### Contracting

*Contracting with Small, Minority, Women’s Business Enterprises, and Labor Surplus Area Firms*

Whenever possible, sub-recipients will solicit goods and services from small, minority, or women’s business enterprises, or labor surplus area firms. This may be accomplished by placing qualified small, minority, and women’s business enterprises on solicitation lists, and soliciting those businesses whenever they are potential sources. The following conditions apply:

* Sub-recipients must still comply with procurement procedures, including the use of appropriate bidding and selection processes and providing for ample competition as required by law.
* Although sub-recipients should still give consideration to a vendor’s technical and financial capacity, sub-recipients should also divide total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small, minority and women’s business enterprises. The sub-recipients may not use this to bypass the small purchase threshold.
* It is permissible to document preference for small, minority, or women’s business enterprises as justification for selecting a vendor or contractor that does not provide the lowest-cost goods or services.
* If subcontracts are to be let, sub-recipients must require the prime contractor to take the affirmative steps listed above.

PCSGP sub-grantees are “non-Federal entities” for the purposes of the following regulations. For more information on obligations regarding Equipment and Supplies, please refer to the Uniform Grant Guidance located at <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200>.

Non-Federal entities are encouraged to use the services and assistance of the Small Business Administration and the Minority Business Development Agency of the Department of Commerce for assistance in seeking out small and minority businesses.

## Appendix D: Equipment and Supplies Standards

All PCSGP sub-grant recipients must follow federal regulations when purchasing, using, and disposing of sub-grant project equipment and supplies.

* “Equipment” is defined as tangible, non-expendable, personal property (including information technology systems) having a useful life of more than one year and an acquisition cost of $5,000 or more per unit.
* “Supplies” means all tangible personal property other than those described in Equipment. A computing device is a supply if the acquisition cost is less than the lesser of the capitalization level established by the sub-recipient for financial statement purposes or $5,000, regardless of the length of its useful life.

### Equipment

A requirement of the CDE’s PCSGP grant monitoring program is to verify that the equipment and related records of grant recipients are following federal regulations included in <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D/subject-group-ECFR8feb98c2e3e5ad2/section-200.313>.

1. Title: Subject to the obligations and conditions set forth in this section, title to equipment acquired under a grant or sub-grant will vest upon acquisition in the non-Federal entity respectively.
2. States: A State will use, manage, and dispose of equipment acquired under a grant by the State in accordance with State laws and procedures. Other non-Federal entities will follow paragraphs (c) through (e) of this section.
3. Use:
   1. Equipment shall be used by the non-Federal entity in the program or project for which it was acquired as long as needed, whether or not the project or program continues to be supported by federal funds. When no longer needed for the original program or project, the equipment may be used in other activities currently or previously supported by a federal agency.
   2. The non-Federal entity shall also make equipment available for use on other projects or programs currently or previously supported by the Federal Government, providing such use will not interfere with the work on the projects or program for which it was originally acquired. First preference for other use shall be given to other programs or projects supported by the awarding agency.
   3. Notwithstanding the encouragement in 2 *CFR* 200.307 to earn program income, the non-Federal entity must not use equipment acquired with grant funds to provide services for a fee to compete unfairly with private companies that provide equivalent services, unless specifically permitted or contemplated by federal statute.
   4. When acquiring replacement equipment, the non-Federal entity may use the equipment to be replaced as a trade-in or sell the property and use the proceeds to offset the cost of the replacement property, subject to the approval of the awarding agency.
4. Management requirements: Procedures for managing equipment (including replacement equipment), whether acquired in whole or in part with grant funds, until disposition takes place will, as a minimum, meet the following requirements:
   1. Property records must be maintained that include a description of the property, a serial number or other identification number, the source of property, who holds title, the acquisition date, cost of the property, percentage of federal participation in the cost of the property, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.
   2. A physical inventory of the property must be taken and the results reconciled with the property records at least once every two years.
   3. A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft shall be investigated.
   4. Adequate maintenance procedures must be developed to keep the property in good condition.
   5. If the non-Federal entity is authorized or required to sell the property, proper sales procedures must be established to ensure the highest possible return.
5. Disposition: When original or replacement equipment acquired under a grant or sub-grant is no longer needed for the original project or program or for other activities currently or previously supported by a federal agency, disposition of the equipment will be made as follows:
   1. Items of equipment with a current per-unit fair market value of $5,000 or less may be retained, sold, or otherwise disposed of with no further obligation to the awarding agency.
   2. Items of equipment with a current per unit fair market value in excess of $5,000 may be retained or sold and the awarding agency shall have a right to an amount calculated by multiplying the current market value or proceeds from sale by the awarding agency's share of the equipment.
   3. The non-Federal entity may transfer title to the Federal Government or to an eligible third party, provided that the non-Federal entity is entitled to compensation for its attributable value of the property.
   4. In cases where a non-Federal entity fails to take appropriate disposition actions, the awarding agency may direct the non-Federal entity to take excess and disposition actions.
6. Federal equipment:
   1. In the event a non-Federal entity is provided federally-owned equipment:
      1. Title will remain vested in the Federal Government.
      2. Non-Federal entities will manage the equipment in accordance with federal agency rules and procedures, and submit an annual inventory listing.
      3. When the equipment is no longer needed, the non-Federal entity will request disposition instructions from the federal agency.
7. Right to transfer title: The federal awarding agency may reserve the right to transfer title to the Federal Government or a third party named by the awarding agency when such a third party is otherwise eligible under existing statutes. Such transfers shall be subject to the following standards:
8. The property shall be identified in the grant or otherwise made known to the non-Federal entity in writing.
9. The federal awarding agency shall issue disposition instruction within 120 calendar days after the end of the federal support of the project for which it was acquired. If the federal awarding agency fails to issue disposition instructions within the 120 calendar-day period items of equipment with a fair-market value in excess of $5,000 may be retained by the non-Federal entity or sold.
10. When title to equipment is transferred, the non-Federal entity shall be paid an amount calculated by applying the percentage of participation in the purchase to the current fair market value of the property.
11. The provisions of paragraphs (c), (d), (e), and (g) of this section do not apply to disaster assistance under 20 *U.S.C.* 241–1(b)–(c) and the construction provisions of the Impact Aid Program, 20 *U.S.C.* 631–647.

### Supplies

A requirement of the CDE’s PCSGP grant monitoring program is to verify that the supplies and related records of grant recipients are following federal regulations included in 2 *CFR* 200.314 (<https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D/subject-group-ECFR8feb98c2e3e5ad2/section-200.314>).

1. Title: Title to supplies acquired under a grant or sub-grant will vest, upon acquisition, in the non-Federal entity respectively.
2. Disposition: If there is a residual inventory of unused supplies exceeding $5,000 in total aggregate fair market value upon termination or completion of the award, and if the supplies are not needed for any other federally sponsored programs or projects, the grantee or sub-grantee shall compensate the awarding agency for its share.

For more information on obligations regarding Equipment and Supplies, please refer to the Uniform Grant Guidance located at <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200>.

## Appendix E: Financial Management Standards

PCSGP recipients are required to adhere to federal regulations when developing and using a financial management system to administer federal PCSGP funds. A requirement of the CDE’s grant-monitoring program is to verify that the financial management systems of sub-grant recipients are in compliance with federal regulations.

PCSGP sub-grantees are “non-Federal entities” for the purposes of the following regulations. For more information on obligations regarding financial management standards, please refer to the Uniform Grant Guidance located at <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200>.

Financial Management Regulations (2 *CFR* 200.302) (<https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D#200.302>)

1. A State’s and other non-Federal entities financial management systems, including records documenting compliance with Federal statutes, regulations, and the terms and conditions of the federal award, must be sufficient to:
   1. Permit preparation of reports required by this part and the statutes authorizing the grant, and
   2. Permit the tracing of funds to a level of expenditures adequate to establish that such funds have not been used in violation of the restrictions and prohibitions of applicable statutes.
2. The financial management system of each State and other non-Federal entities must meet the standards for Retention Requirements for Records 2 *CFR* 200.334, Methods for Collection, Transmission and Storage of Information

2 *CFR* 200.335, Access to Records 2 *CFR* 200.336 and Restrictions on Public Access 2 *CFR* 200.337.

* 1. Financial reporting. Accurate, current, and complete disclosure of the financial results of financially assisted activities must be made in accordance with the financial reporting requirements of the grant or sub-grant.
  2. Accounting records. All non-Federal entities must maintain records, which adequately identify the source and application of funds provided for financially-assisted activities. These records must contain information pertaining to grant or sub-grant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income.
  3. Internal control. All non-Federal entities must establish and maintain effective internal control and accountability over the Federal award in compliance with federal statutes, regulations, and the terms and conditions of the Federal Award. All non-Federal entities must adequately safeguard all grant funds, personal property, and other assets and must assure that it is used solely for authorized purposes.
  4. Budget control. Actual expenditures or outlays must be compared with budgeted amounts for each grant or sub-grant. Financial information must be related to performance or productivity data, including the development of unit cost information whenever appropriate or specifically required in the grant or sub-grant agreement. If unit cost data are required, estimates based on available documentation will be accepted whenever possible.
  5. Allowable cost. Applicable Office of Management and Budget (OMB) cost principles, agency program regulations, and the terms of grant and sub-grant agreements will be followed in determining the reasonableness, allowability, and allocability of costs.
  6. Source documentation. Accounting records must be supported by such source documentation as cancelled checks, paid bills, payrolls, time and attendance records, contract and sub-grant award documents, etc.
  7. Cash management. For non-Federal entities other than States, payment methods must minimize the time elapsing between the transfer of funds from the U.S. Treasury or the pass-through entity and disbursement by the non-Federal entity whether the payment is made by electronic funds transfer or issuance or redemption of checks, warrants, or payment by other means.

For more information on obligations regarding payments, please refer to the Uniform Grant Guidance 2 *CFR* 200.305 at <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-D#200.305>.

An awarding agency may review the adequacy of the financial management system of any applicant for financial assistance as part of a pre-award review or at any time subsequent to award.

## Appendix F: PCSGP Resources

California Department of Education (CDE) General Public Charter Schools Grant Program (PCSGP) Information <https://www.cde.ca.gov/sp/ch/pcsgp.asp>

CDE PCSGP Funding Profile <https://www.cde.ca.gov/fg/fo/profile.asp?id=5997>

### Public Random Drawing

Public Random Drawing*,* California *Education Code* Section 47605

<https://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=EDC&sectionNum=47605>

### Request for Applications (RFA) Information

General Assurances and Certifications <https://www.cde.ca.gov/fg/fo/fm/generalassurances2022-23.asp>

PCSGP Application Technical Assistance <https://www.cde.ca.gov/sp/ch/pcsgpadmin.asp>

### Finance and Accounting

*California School Accounting Manual* (*CSAM*) <http://www.cde.ca.gov/fg/ac/sa/>

### Travel Reimbursements

### California Department of Human Resources Travel Reimbursements <https://www.calhr.ca.gov/employees/pages/travel-reimbursements.aspx>

AB 1887 Prohibition on State-Sponsored Travel to States with Discriminatory Laws

<https://oag.ca.gov/ab1887>

### U.S. Department of Education (ED)

Federal Charter School Programs <https://oese.ed.gov/offices/office-of-discretionary-grants-support-services/charter-school-programs/>

Education Department General Administrative Regulations (EDGAR) <http://www2.ed.gov/policy/fund/reg/edgarReg/edgar.html>

Charter Schools Program Nonregulatory Guidance (updated January 2014) <http://www2.ed.gov/programs/charter/fy14cspnonregguidance.doc>

Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards <https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200>

System for Award Management (SAM) [https://www.sam.gov](https://www.sam.gov/)