# Public Charter Schools Grant Program Request for Applications 2020–23

## Planning, Implementation, Replication, and Expansion Sub-Grants

### California Department of Education



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## Timeline

Please note the following dates for the 2020–23 Public Charter Schools Grant Program (PCSGP). The sub-grant effective award start date will be **February 1, 2021 for all applications received by February 23, 2021 AND March 1, 2021 for all applications received by March 23, 2021.**

| **Important Events** | **Dates** |
| --- | --- |
| Post final request for applications (RFA) on the California Department of Education (CDE) website | Thursday, January 7, 2021 |
| Technical Assistance Webinar: Overview of the RFA and Sub-grant Budget Training | Thursday, January 14, 2021 |
| **PCSGP application due date**  ***Note:*** *Applicants must have an approved charter petition prior to applying for the grant.* | **Tuesday, February 23, 2021 to March 23, 2021**  **Applications may be submitted any time during this period.** |
| Peer Reviewers evaluate and score all eligible applications | ***Tentatively***  **March 2, 2021**  **to April 13, 2021** |
| PCSGP Office notifies applicants of application status | **Tuesday, April 30, 2021** |
| Issue Grant Award Notification (GAN) to awardees Sub-grantees must sign and return the GAN to CDE | After approval of PCSGP budget |
| Reimbursement Payment Request Process  (approximately 8-10 weeks) | Begins upon CDE receipt of signed GAN and submission and approval of the first quarterly expenditure report (QER). |

## General Information

### **Introduction**

The Federal Public Charter Schools Grant Program (PCSGP) is a sub-grant program funded by the Charter Schools Program (CSP), authorized under Title IV, Part C of the Elementary and Secondary Education Act 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 to assist in the development and initial operations of newly established or conversion charter schools as well as to assist in the expansion and replication of high-quality charter schools.

Hereafter, the term California Department of Education (CDE) refers to the CDE operating under the policy direction of the State Board of Education (SBE). The CDE will award PCSGP Planning, Implementation, Replication, and Expansion sub-grants each year through fiscal year (FY) 2022–23, pending annual allocations from the Department of Education (ED). These sub-grants may be used for planning, program design, initial implementation, replication, and expansion of a high-quality charter schools.

For Fiscal Year 2020–21, the CDE has an approved pipeline and budget to award the following number of PCSGP grants: Planning OR Implementation = seven (7) sub-grants, Replication = eight (8) sub-grants, Expansion = five (5) sub-grants. The number of Planning, Implementation, and Replication may vary based on demand. If all authorized awards are not approved for funding, the CDE will open additional grant competition events for new applicants until all of the allocated funds have been awarded.

### **Eligibility Requirements**

In order to be eligible for PCSGP funding, a developer, as defined by ESEA §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 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 as part of the PCSGP application and proof the school notified the authorizer of their intent to apply for PCSGP grant funds.

A newly established or conversion classroom-based charter school may be eligible for a Planning, Implementation, or Replication sub-grant during the PCSGP application period (Tuesday, January 7, 2021, through **Tuesday, March 23, 2021**), provided that the school did not begin serving students prior to July 1, 2019 (See Appendix B for definition of “newly established charter school”), and if the charter school has not received a CSP grant from CDE or ED within the past five years. A newly established or conversion classroom-based charter school is not eligible for an Expansion sub-grant.

**NEW Non-classroom Based Charter School Eligibility:**

**For the 2020–21 amended PCSGP RFA released February 18, 2021, non-classroom based charter schools are eligible to apply for Planning, Implementation, or Replication grant funds if:**

1. **The charter petition for a NEW non-classroom based charter school was approved in the 2019 calendar year,**
2. **The charter school does not qualify as a continuing charter school under Education Code section 47605(a)(5)(E), 47605.1(c)(5)(B), 47605.9(d), or 47612.7(b). This exclusion includes (a) a charter school that was previously a resource center under an existing charter school, and (b) a charter school that was previously under another authorizer or at another location.**
3. **The school did not begin serving students before July 1, 2019.**

Non-classroom based and virtual charter schools may be eligible for an Expansion sub-grant, during the PCSGP application period (Thursday, January 7, 2021, through **Tuesday, March 23, 2021**), provided the school meets the definition of a high-quality charter school (See Appendix B for definition of “non-classroom based” and “virtual charter school”), and if the charter school has not received a CSP grant from CDE or ED within the past five years. A non-classroom based or virtual charter school is not eligible for a Planning, Implementation, or Replication sub-grant.

Active charter schools adding a new grade within the current fiscal year, or charter schools adding a new grade within the succeeding fiscal year, may apply for an Expansion sub-grant. However, in order to be eligible for PCSGP funding, the charter school must show that they meet the definition of a high-quality charter school, as defined in Appendix B: Definitions of PCSGP Terms.

Charter school management organizations (CMO) and charter schools under, or part of, a non-profit 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. A majority of the charter schools operated by the governing board must meet the definition of a high-quality charter school, as defined in Appendix B: Definitions of PCSGP Terms, in order to be eligible for PCSGP funding. This requirement will also apply to any charter schools operated by the CMO outside of California.

**NEW!** Charter schools under, or part of, a CMO currently awarded, or subsequently awarded, a federal CSP grant from ED will not be eligible to apply for California PCSGP funding. If a charter school is awarded a PCSGP award from California and their CMO is awarded a CSP sub-grant from ED during the active sub-grant award term from California, payments dispersed to date must be paid back to California and the PCSGP award will be terminated.

### **Additional Eligibility Requirements**

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 GEPA (20 *U.S.C*. 1232g) (commonly referred to as the ‘‘Family Educational Rights and Privacy Act of 1974’’), and part B of the 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 §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 § 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 1505, 1507, and Anderson Union High School District v Shasta Secondary Home School decision. (See Appendix B: 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. Non-profit status will be verified with the California Secretary of State at the time of application submission. Individuals and for-profit entities will be deemed ineligible.
  7. Provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants. The DUNS number is a mandatory field that must be entered on the PCSGP Form 2‒Application Cover Sheet. Instructions for applying for a DUNS number can be found at <http://www2.ed.gov/about/offices/list/ope/dunsguide.pdf>.
  8. Be registered in the System of Award Management (SAM), and 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, and provide its unique entity identifier in each application or plan it submits to the agency.

#### Expansion and Replication Applicants

CMO-operated charter schools or charter schools operating under the same governing board are not eligible for the PCSGP Planning or Implementation sub-grant. Multiple school organizations may apply for PCSGP Replication or Expansion sub-grant funding and must meet the definition of high-quality charter schools for the majority of the schools under the single governance structure**.**

**Expansion Applicants**

Under ESSA §4310(7), the term expand means to, “significantly increase enrollment or add one or more grades to a high-quality charter school.” Charter schools may be eligible for an Expansion sub-grant if they meet ALL of the following criteria:

* The charter school is significantly increasing enrollment (more than 25 percent of its current or prior year certified enrollment) OR adding one or more grade levels to be served
* The charter school will be funding new or substantially different activities not previously supported by a planning and implementation sub-grant
* The charter school is not a currently receiving another CSP sub-grant
* The charter school has not received another CSP sub-grant in the past five years, unless the charter school has at least three years of improved educational results for students enrolled in the charter school (see ESEA § 4303[e][2]).

**Replication Applicants**

Under ESEA § 4310(9), the term replicate when used with respect to high-quality charter school, means, “to open a new charter school or a 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, if permitted or required by state law.”

For the purposes of the CA 2020–23 PCSGP Application, all charter school operators whose governing boards are responsible for more than one charter school may be eligible for a PCSGP replication sub-grant. Multiple school governing boards are NOT eligible for planning and implementation funding. Charter schools may be eligible to apply for a Replication sub-grant if they meet ALL of the following criteria:

* The charter school operator is not currently receiving another CSP sub-grant
* The charter school operator has not received another CSP sub-grant in the past five years, unless the charter school has at least three years of improved educational results for students enrolled in the charter school (see ESEA § 4303[e][2])
* A majority of the charter schools operated by the CMO, in and out of California, or under a common governing board meet the definition of a high-quality charter school as defined by Section 4310(3) of ESEA, as amended by the ESSA.

**Definition of a High-Quality Charter School**

For the purposes of the PCSGP, a high-quality charter school, as defined by ESEA § 4310(8), as amended by the ESSA, means a charter school that:

* Shows evidence of strong academic results, which may include strong student academic growth, as determined by the State
* Has no significant issues in the areas of student safety, financial and operational management, or statutory or regulatory compliance (maybe be verified with letter from authorizer)
* Has demonstrated success in significantly increasing school wide student academic achievement, including graduation rates where applicable
* Has demonstrated success in increasing student academic achievement, including graduation rates where applicable, for a majority of the subgroups of students, as defined in ESEA § 1111(b)(2), except that such demonstration is not required in a case in which the number of students in a group is insufficient to yield statistically reliable information or the results would reveal personally identifiable information about an individual student.

For existing charter schools applying for grants to replicate and expand, the CDE has defined “strong academic results” as, those schools that meet the high track for renewal in California *Education Code* (*EC*) Section 47607, as adopted by the Legislature in AB 1505:

* Received the two highest performance levels schoolwide on all state indicators, which is all blue or green, OR
* Received performance levels schoolwide and for a majority of subgroups that are the same or higher than the state average on the academic performance indicators—test-based indicators for English language arts and math, the English Language Progress Indicator, and the College and Career Indicator.

NOTE: Replication applicants MUST demonstrate how the majority of the schools, in and out of California, under the common governing board meet the high-quality definition.

### Autonomy

Autonomy is a requirement of the PCSGP; 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 § 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.

### Public Random Drawing and Lottery

The applicant's approved charter must comply with applicable federal and state public random drawing (lottery) laws (ESEA § 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 *EC* § 47605(d)(2)(A) and 47605(d)(2)(B) which state:

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

*EC* § 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* § 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 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 §* 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* § 47605.6(e)(2)(A) and *EC* § 47605.6(e)(2)(B) which state:

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

*EC* § 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* § 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.

### Technical Assistance

The CDE will provide technical assistance (TA) regarding the application process through on-site trainings and webinars. Specific dates and times will be provided to all applicants. After charter schools are awarded sub-grants, the CDE will provide additional TA on reporting and monitoring requirements.

## Funding Priority and Funding Levels

### Funding Priority

Due to the highly competitive nature of the 2020–23 PCSGP sub-grant application, 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 Charter School Program established preference priorities to spur investment in QOZs (One point) (<https://www.ca-ilg.org/post/where-are-californias-opportunity-zones>).
2. The applicant provides a signed facility agreement with the PCSGP application (One point).
3. The applicant proposed opening a new charter high school (One point).
4. The applicant school site will be located in a district or county with less than 10 publicly funded charter schools (One point).
5. Expansion Sub-grant Applicants only – the high-quality school site to be expanded is located in a densely populated urban QOZ (One point).

These preferences are in alignment with the approved 2020–23 CA CSP award priorities preferences. 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 including 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. An application that receives a "1" in any required element 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 Appendix A: PCSGP Rubric. 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. The CDE will only consider awarding funds to those applications that submit a comprehensive and viable application likely to improve student academic achievement.

### Length of Sub-grant Award and Maximum Funding Level

There are four sub-grants being offered through this RFA: Planning, Implementation, Replication, and Expansion. The maximum sub-grant award is $600,000, for up to a 36-month period of time, with one additional opportunity to apply for supplemental funding, of up to $100,000, to specifically serve educationally disadvantaged students (EDS).

**NOTE:** For the purposes of this grant, EDS are those students identified as Socioeconomically Disadvantaged, English Learners, Foster and Homeless Youth. This data should be reflected in the California Longitudinal Pupil Achievement Data System (CALPADS) Fall Census Day data.

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-grantees “Planning Phase Benchmark Report”, which is due to the CDE by the end of the first month the school begins serving students. 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.

Implementation, Replication and Expansion sub-grants are awarded for up to 36 months. Implementation sub-grants awarded as additional funding to Planning sub-grants 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.

No PCSGP sub-grant award can go beyond California’s grant period end date of June 30, 2023. If California is approved for a one-year No-Cost Time Extension, PCSGP sub-grantees may be able to receive a maximum grant award term of 36 months.

#### Planning, Implementation, Replication, and Expansion Funding Levels

The funding levels for each of the four sub-grants vary. Table 1 below shows the funding levels for new classroom-based charter schools that are in operation on the date the sub-grant award begins as well as applicants who are not in operation on the date the sub grant award begins. The planning phase ends when the school starts serving students.

High-quality classroom and non-classroom charter schools may apply for Expansion sub-grants for up to 36 months of funding.

**Table 1: 2020–23 PCSGP Funding Levels for New or Expanding Sub-grant Awards**\*

| **Sub-Grant Type** | **Planning Only**  **(Not to Exceed 18 Months)** | **Implementation and Replication Only\* (Not to Exceed 36 Months)** | **Implementation add-on funding for Planning sub-grants** | **Expansion (Not to Exceed 36 Months)** |
| --- | --- | --- | --- | --- |
| **Funding Level** | Up to $100,000 | Year 1 up to $300,000  Year 2 up to $200,000  Year 3 up to $100,000 | Year 1 up to $300,000  Year 2 up to $200,000  *Planning plus Implementation term cannot exceed 36 months.* | Year 1 up to $100,000  Year 2 up to $100,000  Year 3 up to $100,000 |

\*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.

Additional supplemental funding of up to $100,000, to specifically serve EDS, will be available to sub-grantees in “compliance/good standing.” Charter schools in the planning phase are not eligible to be considered for supplemental funding.

#### Eligibility for Higher Sub-Grant Award to serve Educationally Disadvantaged Students

Implementation, Expansion, and Replication sub-grantees will have the opportunity to apply for supplemental funding of up to $100,000 based on the number of EDS served. Funding above the base award may be awarded after the first year of operation based on consideration of the following factors:

* Enrollment percentage of EDS as verified on CALPADS certified for each school
* Total enrollment of the school
* The charter school has met all program accountability, reporting and monitoring criteria as outlined in the RFA
* Availability of funds

## Program Accountability and Monitoring

The CDE is responsible for monitoring PCSGP 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.

### Program Accountability

Each identified sub-grantee is responsible for carrying out its responsibilities in accordance with Title IV, Part C of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act of 2015 (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.

### 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. All sub-grantees are required to submit the 20-Day Enrollment Report to the CDE by October 15 each year of the sub-grant award. Sub-grantees with a 20-Day 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.

Sub-grantees failing to meet this requirement by the end of the first year of implementation 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.

### Planning Sub-Grant Required Deliverables

All Planning grant sub-grantees must begin serving students by the end of the 18-month planning period. Sub-grantees failing to open within the 18-month planning period will not be eligible for Implementation sub-grant funding and may be billed back for all sub-grant funding dispersed to date. Additionally, any sub-grantee whose 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 at least three months prior to the opening of the charter school. Failure to show a secured facility will put the sub-grant on payment hold until the charter school can show proof of acquiring an appropriate facility.

To apply for Implementation Add-on Funding, all Planning sub-grantees must complete a Planning Grant Benchmark Report and submit a new budget summary and narrative (Form 4 & 5), work plan (Form 6), and signed grant assurances. The Planning Grant Benchmark Report will be sent to all eligible Planning sub-grantees in the final quarter of the planning grant term.

### Fiscal Reporting Requirements

All 2020–23 PCSGP sub-grants are reimbursement sub-grants only. CDE will not issue any advance payments for the sub-grant. In order to be reimbursed for expenses, sub-grantees must submit all 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.

**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 |

### Performance Reporting Requirements

Annual performance reports (APRs) must be submitted to the CDE to report project progress no later than **March 1st** 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.

### 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 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.

### Monitoring

The CDE will monitor sub-grantees by reviewing and approving quarterly fiscal reports and annual progress reports. 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 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.

### 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 and Replication 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 the external review on or before the end of the sub-grant period, the CDE will withhold 10 percent of the total sub-grant award.

## Fiscal Operations

### Allowable Use of Funds

Sub-grantees may only use sub-grant funds for allowable sub-grant expenditures during the grant period. PCSGP funding shall be used to establish a high-quality charter school funded by this sub-grant process.

**Planning** sub-grant funds may be used for staff salaries (up to four months), 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 Education Agency (SEA).

**Implementation, Replication, or Expansion** 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.

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.

Additionally, the CDE has established the following budgetary guidelines for Planning sub-grantees (See Table 2):

**Table 2: Planning Budget Guidelines**

| **Budget Item** | **Criteria** |
| --- | --- |
| Certificated and Classified Salaries  The school must maintain Time and Effort Reports for all employees paid from the grant. | Allowable Level of Funding:  No more than four months prior to the opening date of school. Costs must be reasonable and necessary. |
| Certificated and Classified Benefits | No more than four 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 (<https://www.ecfr.gov/cgi-bin/text-idx?SID=4b9c6333251dbffa9af2b7cdf434faa6&mc=true&node=pt2.1.200&rgn=div5>)
* 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: <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.

### Reimbursement Payments to Sub-grantees

The sub-grantee must report expenditures for the PCSGP on a quarterly basis to the CDE 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. Ten percent of the sub-grant award will be withheld until all sub-grant requirements have been met, including the submission of the third-party external review.

### Termination of Funding

PCSGP sub-grant funding may be terminated and reimbursements 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 sub-grantee fails to submit the required deliverables in a timely manner: Quarterly Expenditure Reports, General Ledgers, Annual Progress Reports, 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 System for Award Management (SAM) database, at <https://www.sam.gov/SAM/> throughout the entire sub-grant award term. Sub-grantees are responsible for making sure their information in the SAM database is current, accurate and complete, as required by Federal Funding Accountability and Transparency Act, as defined in the *Code of Federal Regulations* (*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 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 implementation and are unable to show that the charter school is sustainable may result in the termination of the sub-grant award.

## Planning, Implementation, Replication and Expansion Application Requirements

Applicants responding to this RFA must submit one complete electronic PDF copy and one hard copy of the application packet. The application packet must include complete and unique responses to all narrative elements described within this RFA and all required forms. The application must be single-line-spaced, using default character spacing and 12-point Arial font, with one-inch margins. 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 Application Checklist provided on page 33 of this RFA. **Applications failing to meet these criteria or those applications with plagiarized or duplicative narrative statements from other sub-grant applications may be deemed ineligible.**

## 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. NOTE: Replication and Expansion applicants must also meet additional high-quality charter school requirements.

1. Will the charter school have an approved charter petition by grant application due date?
2. Is the charter school a non-profit organization, or under a non-profit organization, that is registered with, and in good standing with, the Secretary of State?
3. Does the individual charter school have a DUNS number registered with the System for Award Management database?
4. Is the charter school a direct-funded charter school?
5. If applying for a Planning, Implementation, or Replication sub-grant, is the charter school considered a new charter schoolor is it considered a continuing charter school? **If continuing, the applicant is not eligible for Planning, Implementation, or Replication funding.**
6. Will the charter school begin serving students within 18 months or less from 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 the CDE staff prior to moving the application forward to the peer review scoring process.

## 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 2010 US Census and the QOZ identification number.

OR

Expansion applicant charter school site is located in a densely populated urban QOZ. Data sources must be cited and will be verified.

1. Signed lease agreement or evidence of securing a Prop 39 facility
2. Education program designed to serve grades 9–12
3. The proposed charter school site will be located in a district or county with less than 10 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.

## 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 of this RFA). 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.

### 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. If the charter school is part of a CMO, the applicant must also describe the flexibility and level of autonomy it has from the CMO over 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 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.
* The staffing for 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.
* The identification of the Governing Board Members with Resumes included in the Appendix.
* A description of business or personnel services contracts to be used by the charter school, if applicable, or 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.

### 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. The description must include 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.

**Expansion Applicants** must describe the new curriculum and instructional strategies for the new grades being added to the school.

* 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.
* School wide 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 CA Local Control Funding Formula - State Priorities)
* Clearly describe how academic assessment data will be used to inform instruction.
* Student Sub-group Academic Achievement: The applicant must describe how the school will monitor student subgroup academic achievement.
* **Expansion Applicants** must clearly identify what grades will be added to the school and the timeline for the expansion.

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

#### 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
* 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
  + Instructional improvement systems for technology-based tools and other strategies that provide teachers, principals, and administrators with meaningful support and actionable data to systemically manage continuous instructional improvement.

#### 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 Individuals with Disabilities Act (IDEA) § 613(a)(5) and 613 (e)(1)(B). Applicants that are part of a local educational agency 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 local educational agency 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.

### Engagement

#### 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 community will be involved in developing the school culture and climate
* A description of how parents and community will be given feedback on student progress and assessment results
* A description of how the school will ensure public access to the annual School Accountability Report Card (SARC) and of how the school website will be used to inform parents about educational options offered by the school.
* The process followed by the school to ensure ongoing parental involvement.

#### 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 rate.

#### 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.
* A description on how the school will obtain feedback from students, parents and teachers on school safety and connectedness issues.

#### 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.Expansion and Replication applicants may include artifacts in the appendix.
* 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, Assurance, and Signature Section.

### High-Quality Charter School –Expansion and Replication Applications Only

The High-Quality Charter School narrative is only required for Expansion and Replication sub-grant applications.

#### Schoolwide Performance Indicators:

Expansion: The applicant must describe how the school meets the definition of a high-quality charter school.

Replication Applicants: The applicant must describe how the **majority** of the active charter schools operating under the charter school operator or governing board meet the definition of a high-quality charter school.

The justification must include, but is not limited to, data from the CDE Dashboard indicators for English Language Arts (ELA) and Mathematics. CDE may request verification of all data submitted in the application. Applicants may add data tables in a separate appendix that is not part of the page limit.

### Eligibility for Higher Sub-Grant Award (Implementation, Replication, and Expansion Sub-grantees only)

After the first year of the grant term (Implementation, Replication, and Expansion only) sub-grantees are eligible to apply for supplemental funding to support the needs of EDS. Eligible sub-grantees will be asked to submit a narrative description of how the additional funds will support this subgroup and a detailed budget narrative for the additional funds.

Upon request of the CDE, the school will need to provide data on the percentage of EDS that were served in the school during its first year of the 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 CALPADS certified enrollment reports.

### Charter School Work Plan/Activities

All applicants must complete Form 6 PCSGP Charter School Work Plan and Activities. The form should include justification for each activity. There is a **15-page limit** total for this section.

### Proposed Budget Summary and Narrative

All applicants must complete the PCSGP Budget Proposal Excel workbook including Form 4, PCSGP Budget Summary, and Form 5, PCSGP 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, Support and Resources web page at <https://www.cde.ca.gov/sp/ch/pcsgpadmin.asp>.

## Application Review and Scoring Process

### 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 will be formally notified by the CDE staff. Only applications meeting the eligibility criteria will be moved to the peer review process.

### Peer Review

Federal regulations require a peer review of PCSGP applications. Information on the federal regulations can be found at <https://www.govinfo.gov/content/pkg/FR-2015-06-15/pdf/2015-14391.pdf>. 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.

### 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
* High Quality Charter School (Expansion and Replication Applicants only)

The actions/activities identified in the Work Plan 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 PCSGP Charter Work Plan/Activity chart are provided on PCSGP Form 6 of this RFA.

### Approval Process

All applications passing the peer review process are subject to further review by the CDE to be sure 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. 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 PCSGP 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.

### Sub-grant Grant Award Notification

The GAN is the official notification to applicants approved for 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 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 grant. A PCSGP grant has been awarded only after the CDE receives the signed GAN from the sub-grantee.

### 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 2020-2023 CSP application or program in whole or part (20 *U.S.C*. § 1231b-2[a]).

A request to appeal the denial of a sub-grant award should be addressed to:

Public Charter Schools Grant Program  
Charter Schools Division  
California Department of Education  
1430 N Street, Suite 5401  
Sacramento, CA 95814-5901

## Submission of Applications

Applicants responding to this RFA must submit one complete electronic PDF copy, and one hard copy of the application packet. The application packet must include complete and unique responses to all narrative elements described within this RFA and all required forms. The application must be single-line-spaced, using default character spacing and 12-point Arial font, with one-inch margins. 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 Application Checklist provided on page 30 of this RFA. 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 received by the Charter Schools Division on, or before **Tuesday, February 23, 2021.** Due to the COVID-19 pandemic, original application packets must be mailed to the address below. Postmarks will not be honored.

Public Charter Schools Grant Program  
California Department of Education  
Charter Schools Division  
1430 N Street, Suite 5401  
Sacramento, CA 95814-5901

The electronic copy, saved as one PDF file, should 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.**

### 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 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 specific statute or regulations, including an explanation or justification for the request, concurrently with, or prior to, submitting the PCSGP application.

## Form 1–PCSGP Application Component Checklist

The following forms must be included as part of the PCSGP application. Please type initials by each form after completion and compile the application packet in the order provided below. These forms can be downloaded from the CDE PCSGP Request for Applications web page at <http://www.cde.ca.gov/sp/ch/pcsgppirerfa20.asp>.

**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.

| **Forms** | **Required in Application** | **Initials** |
| --- | --- | --- |
| Form 1 PCSGP Application Component Checklist (1-page limit) | Required |  |
| Form 2 PCSGP Application Cover Sheet  The Primary Applicant must sign in **blue ink** | Required |  |
| PCSGP Narrative Response (**30-page** limit) | Required |  |
| High Quality Charter School Response | Expansion and Replication Applicants Only |  |
| Form 4 PCSGP Proposed Budget Summary | Required |  |
| Form 5 PCSGP Proposed Budget Narrative | Required |  |
| Form 6 PCSGP Charter School Work Plan/Activities  (15-page limit) | Required |  |
| Form 7 PCSGP Sub-grant Conditions Assurances | Required |  |
| General Assurances and Certifications | Print, Sign, Keep on Site |  |
| STD 204 State of California–Department of Finance Payee Data Record | Required |  |
| Appendices:  Governing Board Member Resumes  Evidence of Authorizer Notification of PCSGP Application | Required |  |

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

## Form 2–PCSGP Application Cover Sheet

Applicants must sign PCSGP Form 2–Application Cover Sheet as an Adobe PDF form and print as part of the application submission package. Form 2 is available for download at <http://www.cde.ca.gov/fg/fo/r1/documents/pcsgpform2.pdf>.

The application narrative should follow the Form 2 Application Cover Sheet.

### PCSGP Budget Proposal

All applicants must complete the PCSGP Budget Proposal Excel workbook including Form 4, PCSGP Budget Summary, and Form 5, PCSGP Budget Narrative. The completed worksheets must be printed and submitted as part of the application submission package. The PCSGP Budget Proposal Excel workbook is available for download at <http://www.cde.ca.gov/fg/fo/r1/documents/pcsgp20form4-5.xlsx>. Instructions for completing FORM 4 and 5 are included in the PCSGP Budget Proposal workbook download. The Budget must address the full term of the sub-grant and be of sufficient size and scope to implement the objectives and activities. The Budget Summary may not be modified and broken down further than the object codes provided (e.g., 1000, 2000, 3000, etc.)

### Instructions for Completing the Budget Narrative (Form 5 Tab)

The 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 the 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 to be paid.

Example: Executive Director – Salary $20,000 - $5000 per month for up to four months to set up new school including hiring staff, recruiting, board meetings, equipment purchases.

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

**Be sure that your charter school name appears in the header on all pages.**

## Form 6–PCSGP Charter School Work Plan/Activities

### Instructions for Completing Form 6–PCSGP Charter School Work Plan/Activities

Under the Element column, include specific activities and action steps that align to and support the implementation of the associated element. Applicant 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 Evidence Column, describe what will be used as evidence of project completion that will be submitted to CDE, upon request for monitoring purposes.

Upon submission of the initial PCSGP application, leave the percentage completed column blank. This column is reserved for the reporting in the annual PCSGP Annual Progress Report.

The work plan activity/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.
* Evidence to be submitted to CDE to verify progress on the implementation/completion of each specific activity.

**Form 6–PCSGP Charter School Work Plan/Activities Table**

**Charter School Work Plan Activities Table**

| Element | Start /End Dates | Position/  Person Responsible | Justification | Evidence of Completion | % Complete |
| --- | --- | --- | --- | --- | --- |
| School Identity and Governance Structure Actions/Activities:  (Enter Action/Activities) | [Enter Project Start/End Dates] | [Enter Name or Position Responsible] | [Enter justification for the listed activity] | [Enter the type of evidence to be provided] | Leave Blank |
| Education Program Actions/Activities:  (Enter Action/Activities) | [Enter Project Start/End Dates] | [Enter Name or Position Responsible] | [Enter justification for the listed activity] | [Enter the type of evidence to be provided] | Leave Blank |
| Building a High-Quality Charter School  Actions/Activities:  (Enter Action/Activities) | [Enter Project Start/End Dates] | [Enter Name or Position Responsible] | [Enter justification for the listed activity] | [Enter the type of evidence to be provided] | Leave Blank |
| Engagement  Actions/Activities:  (Enter Action/Activities) | [Enter Project Start/End Dates] | [Enter Name or Position Responsible] | [Enter justification for the listed activity] | [Enter the type of evidence to be provided] | Leave Blank |

## Form 6 Example–PCSGP Charter School Work Plan/Activities

**Partial Work Plan Example**

| Element | Start/End Dates | Position/ Person Responsible | Justification | Evidence | % Complete |
| --- | --- | --- | --- | --- | --- |
| Building A High-Quality Charter School  Professional Development Plan Actions/Activities:   * Teachers will attend a two-day workshop on Mathematics Curriculum | 8/1-3/21 | Principal | All teachers to be trained on how to implement mathematics on-line curriculum | Agenda, sign-in sheets | Leave blank |
| 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 | Leave blank |
| Engagement  Parent and Community Involvement  Actions/Activities:   * Establish School Site Council, hold monthly meetings | 9/1/21 to 6/30/22 | Principal | Meets Title 1 mandate for funding. | Agenda, meeting notes, instructional materials | Leave blank |
| 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, | Leave blank |

## Form 7–PCSGP Sub-grant Conditions and Assurances

Applicants **must sign** PCSGP Form 7–Sub-grant Conditions and Assurances as an Adobe PDF form and print as part of the application submission package. Form 7 is available for download at <https://www.cde.ca.gov/fg/fo/r1/documents/pcsgp20form7.docx>. Form 7 MUST be included in the grant application package.

## General Assurances and Certifications

(Required for all Applicants)

All 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 2020—21 General Assurances and Certifications are located on the California Department of Education (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) 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 the front of the application indicates acknowledgement and agreement to all assurances and certifications.

## Payee Data Record

The Payee Data Record form can be downloaded at the State of California’s Department of General Services forms directory at <https://forms.dgs.ca.gov/content/DGSFormsPortal/california-state-forms-directory.html>.

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.**

## Appendix A: Public Charter Schools Grant Program Rubric

### *Preference Points to be scored by CDE Staff*

| **Quality Opportunity Zone** | **Signed Facility Agreement** | **New High School Program** | **Less than 10 Charter School Region** |
| --- | --- | --- | --- |
| 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 9-12. | The school is located in a verified region with less than 10 Charter Schools |
| Points: 1 or 0 | Points: 1 or 0 | Points: 1 or 0 | Points: 1 or 0 |

### *Charter School Identity and Governance Structure*

**Score: \_\_\_\_/4 points.**

| **Narrative Element** | **4** | **3** | **2** | **1** |
| --- | --- | --- | --- | --- |
| 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 MOU between the authorizer, the charter school and the roles and responsibilities of each party. | 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 clearly 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 does not provide a 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. |
| Autonomy from Charter Management Organization (if applicable) | The narrative provides a detailed description of the level of autonomy the school has from the CMO over budget, expenditures, personnel, and daily operations, including how individual sites maintain fiscal reporting requirements, individual school equipment and supply procurement, and reporting out to authorizers. | The narrative provides a clear description of the flexibility and level of autonomy the school has from the CMO over budget, expenditures, personnel, and daily operations with some reference to individual site fiscal and procurement procedures. | The narrative provides a limited description of the flexibility and level of autonomy the school has from the CMO over budget, expenditures, personnel, and daily operations. | The narrative does not provide a description of the flexibility and level of autonomy the school has from the CMO over budget, expenditures, personnel, and daily operations. |
| Partner Organizations (if applicable) | The narrative provides a detailed 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 a description of roles and responsibilities of any partner organizations’ administrative and contractual roles. | The narrative provides a limited description of roles for any partner organizations’ administrative and contractual roles. | The narrative does not provide an adequate description of roles and responsibilities of any partner organizations’ administrative and contractual roles. |
| Student demographics | The narrative includes a detailed description of the expected student demographics, including subgroups, grade levels or ages, and geographical boundaries to be served. | The narrative includes a detailed description of the expected student demographics, including subgroups and grade levels or ages to be served. | The narrative provides a minimal description of the expected student demographics, including grade levels to be served. | The narrative does not describe the expected student demographics. |
| School staffing | The narrative includes a detailed description and quantity of staff positions at the school site, certificated and classified. The narrative also includes a justification for the level of proposed staffing, and student to staff ratio. | The narrative includes the quantity and a limited description of staff positions at the school site, certificated and classified. The narrative also includes a student to staff ratio. | The narrative includes the quantity of staff positions at the school site, certificated and classified, and a student to staff ratio. | The narrative includes the quantity of staff positions at the school site. NO student to staff ratio included. |
| Governance Structure | The narrative includes an organization chart, and clear details on who will manage the grant budget, expenditures, expenditure approval process, and all reporting requirements. | The narrative includes an organization chart, and clear details on who will manage the grant budget, expenditures, and approval processes. | The narrative includes limited details on who will manage the grant budget, and expenditures. | The narrative includes a few details on how the grant budget will be managed, primarily through a back-office provider. |
| Board Membership  (Any perceived conflicts of interest may require further clarification to the CDE) | The narrative references the by-laws and the required number of 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 lists the required number of board members including the names and positions on the board. Resumes for all board members are included in the appendices. | The narrative lists the board members’ names. Resumes for all listed board members are included in the appendices. | The narrative lists the board members’ names. Resumes for some, but not all, of the board members are included. |
| Business or Personnel Services to be contracted, if applicable.  (Any perceived conflicts of interest may require further clarification to the CDE) | The narrative describes 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 clearly describes 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 only provides a name of the contract service provider and no other information. |
| Capacity Building | The narrative provides a detailed description of a sustainability plan for school governance and leadership, including how governance and fiscal training will be completed annually for all board members and site leadership, and how the school will be funded beyond the term of the grant. Funding is based on multiple sources beyond LCFF funds. | The narrative provides a detailed description of a sustainability plan for school governance and leadership. The narrative describes how governance and fiscal training will be completed and how the school will be funded beyond the term of the grant. Funding sources are limited to LCFF and one other source. | The narrative provides a limited description of a sustainability plan for school governance and leadership. The narrative describes governance and fiscal training and how the school will be funded beyond the term of the grant. Funding sources are limited to LCFF. | The narrative provides very little information about a sustainability plan for school governance and leadership. The narrative does not include governance and fiscal training OR any discussion of funding beyond the term of the grant. |

### Education Program

**Score: \_\_\_\_/4points.**

| **Narrative Element** | **4** | **3** | **2** | **1** |
| --- | --- | --- | --- | --- |
| Uniqueness of the program | The narrative includes a detailed 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 a detailed 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. 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. |
| Curriculum and Instructional Practices | The narrative includes a detailed curriculum description, 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 a description of the curriculum subjects and academic content to be taught at the school. Instructional practices are described with some detail, including the techniques or methodology used by teachers with limited description of student engagement and differentiation. | The narrative includes a list of curriculum subjects to be taught at the school. Instructional practices are described with some detail, including the techniques or methodology used by teachers to increase student learning. | The narrative includes a list of curriculum subjects to be taught at the school. Instructional practices listed. |
| Research Based Educational Program | The narrative describes the 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 includes multiple citations of evidence-based research supporting the education program. | The narrative describes the 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 includes one citation of evidence-based research to support the education program choice. | The narrative only describes the school education program, including one piece of evidence to support how it will improve academic success for the students being served by the school. | The narrative only describes the school education program with no evidence to support the choice of education program. |
| School-wide performance objectives and methods of assessment | The narrative provides detailed performance objectives for the first five years of operation and a description of how the objectives will be assessed each year. The narrative includes multiple measures for assessing progress and objectives are specific, measurable, achievable, reasonable, and time- specific. | The narrative provides a list of performance objectives for the first five years of operation and a description of the multiple measures for assessing progress. The objectives are specific, measurable, achievable, reasonable, and time-specific. | The narrative provides a list of performance objectives and a description of the assessment measures for assessing progress. The objectives are specific, measurable, achievable, reasonable, and time-specific. | The narrative provides a list of performance objectives and a list of assessment methods.  OR  The objectives are NOT measurable OR time-specific. |
| Description of how academic data will be used to inform instruction | The narrative clearly describes a plan for reviewing data with instructional staff and how instructional practices will be managed based on the data. The plan describes vertical and horizontal articulations. | The narrative describes a plan for reviewing data with instructional staff and how instructional practices will be managed based on the data. | The narrative describes reviewing data and instructional practices based on the data. No clear plan, but demonstrates knowledge. | The narrative does not describe a plan for reviewing data OR how instructional practices will be managed based on the data. |
| Monitoring of Sub-group Academic Achievement | The narrative provides detailed plans on how subgroup academic achievement will be monitored using multiple measures, at multiple benchmark dates, including formal and informal assessment data. | The narrative provides detailed plans on how subgroup academic achievement will be monitored using multiple measures, at multiple benchmark dates. | The narrative provides a plan to monitor subgroup academic achievement using multiple measures. | The narrative provides a plan to monitor subgroup academic achievement using CAASPP data only. |
| **Expansion Applicants ONLY**  Educational Program for Grade Level Expansion | The narrative provides details on the grades to be added, a sound timeline, and a detailed description of the additional curriculum and instructional strategies for the new grade levels. | The narrative provides details on the grades to be added, a sound timeline, and a limited description of the additional curriculum and instructional strategies for the new grade levels. | The narrative lists the grades to be added with a sound timeline, with a list of topics to be covered in the new grades. Instructional strategies remain the same as prior grades’. | The narrative lists the grades to be added, and there is no timeline, OR curriculum and instructional strategies for the new grades are not described. |

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

**Conditions of Learning Part 1 Score: \_\_\_\_/4 points.**

| **Narrative Element** | **4** | **3** | **2** | **1** |
| --- | --- | --- | --- | --- |
| Teacher Recruitment and Retention | The narrative provides a detailed plan for recruiting and retaining fully credentialed teachers and to assure all employees complete mandatory background checks. | The narrative provides a limited plan for recruiting and retaining fully credentialed teachers, including mandatory background checks. | The narrative provides a plan for recruiting teachers but only a limited response to retaining fully credentialed teachers. | The narrative only provides a list of resources for recruiting OR does not discuss retention at all. |
| Professional Development Plan | The narrative provides a detailed Professional Development plan, including a timeline which is in alignment with the philosophy, goals and objectives of the school. | The narrative provides a limited Professional Development plan, including a timeline, which is somewhat aligned with the philosophy, goals and objectives of the school. | The narrative provides a list of professional development activities with a timeline, which is somewhat aligned with the goals and objectives of the school. | The narrative only provides a list of professional development activities OR the activities/plan does NOT align with the philosophy, goals or objectives of the school. |
| School Culture and Climate | The narrative clearly describes 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 describes the culture and climate to be developed at the school with a clear plan for developing it. | The narrative describes the culture and climate to be developed at the school, but has no clear plan for developing it. | The narrative fails to describe the culture OR climate at the school. |
| Student record retention and transfer processes | The narrative provides a detailed description of the student record retention and transfer processes, including any technology to be used for this purpose and a timeline for processing records requests. | The narrative provides a limited description of the student record retention and transfer processes, including the name of a software vendor to be used. | The narrative briefly discusses the student record retention and transfer processes. | The narrative describes the software program only and not the process. |
| Equal access to technology for all students | The narrative provides a detailed 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 beyond the school. | The narrative provides a limited 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 beyond the school. | The narrative provides a list of alternative resources for students who do not have access to technology outside of school. | The narrative does not address this issue at all. |
| Instructional improvement systems | The narrative provides a detailed description of instructional improvement strategies and tools to be used by admin, staff, and teachers to manage continuous improvement of all student subgroups. | The narrative provides a limited description of instructional improvement strategies and tools to be used by admin, staff, and teachers to manage continuous improvement of all student subgroups. | The narrative provides a list of instructional improvement strategies and tools to be used by admin, staff, and teachers to manage continuous improvement for MOST of the student subgroups. | The narrative only lists 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. |

**Conditions of Learning Part 2 Score: \_\_\_\_/4 points.**

| **Narrative Element** | **4** | **3** | **2** | **1** |
| --- | --- | --- | --- | --- |
| 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 any MOU (if applicable) for services is briefly described. | 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 MOU for services (if applicable) is mentioned. | The narrative only discusses a MOU for services. | The narrative does not provide a description OR any details about a MOU for services. |
| Use of grant funds to support educationally disadvantaged students (EDS) | The narrative provides a clear description of how grant funds will be used to support the needs of EDS. 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 a description of how grant funds will be used to support the needs of EDS. 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 list of how grant funds will be used to support the needs of EDS in most of the following areas: Assessment, Curriculum, Instruction, Equity, and Professional Learning. | The narrative only provides a list of how grant funds will be used to support the needs of EDS AND they are not tied to any of the following: Assessment, Curriculum, Instruction, Equity, and Professional Learning. |
| Reclassification of English Learners | The narrative details a process for the academic improvement and reclassification of English Learners. | The narrative provides limited details regarding the process for academic improvement and reclassification of English Learners. | The narrative provides limited details regarding the process for reclassification of English Learners. | The narrative only provides a list of assessments to be used OR is an inadequate process to evaluate English Learners. |
| Description of how the school will attract, recruit, enroll, serve, and retain EDS. | The narrative provides a detailed plan to attract, recruit, enroll, serve, and retain EDS. | The narrative provides a clear plan to attract, recruit, enroll, serve, and retain EDS, but relies heavily on contracted services. | The plan includes recruiting EDS and all services are provided by contracted services. | No plan to recruit EDS to the school. |
| Equal access to the school and participation in school programs. | The narrative provides details on how EDS will be given equal access to the charter school and participate in school programs including after school programs. Transportation needs are addressed in the narrative. | The narrative provides details on how EDS will be given equal access to the charter school and participate in school programs, including after school programs. | The narrative provides limited information on how EDS will be given equal access to the charter school and participate in school programs | The narrative does not provide information on how EDS will be given equal access to the charter school OR participate in school programs. |

### *Engagement*

**Score: \_\_\_\_/4 points.**

| **Narrative Element** | **4** | **3** | **2** | **1** |
| --- | --- | --- | --- | --- |
| Parent and Community Involvement: | The narrative provides a detailed 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 * Receiving feedback on student progress and achievement results * Access to the annual SARC and school website, including those without access to the internet and ELs. | The narrative provides a limited 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 * Receiving feedback on student progress and achievement results * Access to the annual SARC and school website | The narrative provides a list of ways 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 * Receiving feedback on student progress and achievement results | The narrative does not address each of the required involvement elements:   * Planning, program design, and implementation of the school * Developing the school culture and climate * Receiving feedback on student progress and achievement results |
| Ongoing Parental Involvement | The narrative provides a detailed process to ensure ongoing parental involvement. | The narrative provides a process to ensure ongoing parental involvement. | The narrative provides a list of activities only. | A process for ongoing parental involvement is not included. |
| Absenteeism and Dropout Rates | The narrative describes in detail how grant funds will be used to address absenteeism, dropout rates, and graduation rates (if applicable). The description is reflected in the budget narrative. | The narrative briefly describes how grant funds will be used to address absenteeism, dropout rates, and graduation rates (if applicable). The description is reflected in the budget narrative. | The narrative provides a list of activities to address absenteeism, dropout rates, and graduation rates (if applicable). | The narrative provides a list of activities that only address absenteeism OR dropout rates OR graduation rates (if applicable). |
| 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 * School safety and connectedness issues.   The description is reflected in the budget narrative. | The narrative describes how grant funds will be used to develop intervention programs to address the following:   * Suspension and expulsion rates * School safety and connectedness issues.   The description is reflected in the budget narrative. | The narrative provides a list of activities to address the following:   * Suspension and expulsion rates * School safety and connectedness issues. | The narrative provides a list of activities that only address suspension and expulsion rates OR school safety and connectedness issues. |
| Notification and Admissions | The narrative provides a detailed 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 * Admission and public random drawing process. | The narrative provides a limited 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 * Admission and public random drawing process. | The narrative provides a 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 * Admission and public random drawing process. | The narrative provides a list of activities that only addresses following:   * How the community will be informed about the charter school and given equal opportunity to attend OR * Admission preferences approved by the authorizer OR * Admission and public random drawing process. |

### PCSGP Form 6 *Work Plan/Activities Alignment*

**Score: \_\_\_\_/4 points.**

Work Plan Activities Support Building a High-Quality Charter School in the following areas:

| **Narrative Element** | **4** | **3** | **2** | **1** |
| --- | --- | --- | --- | --- |
| 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 limited support of the plan identified in the narrative. Activities identified include range of implementation dates, but did not identify who is responsible and/or what evidence will be provided. | Activities identified in the work plan do not align or support the full plan identified in the narrative. | Activities do not include dates, who is responsible, or evidence. |
| 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 limited support of the plan identified in the narrative. Activities identified include range of implementation dates, but did not identify who is responsible and/or what evidence will be provided. | Activities identified in the work plan do not align or support the full plan identified in the narrative. | Activities do not include dates, who is responsible, or evidence. |
| 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 limited support of the plan identified in the narrative. Activities identified include range of implementation dates, but did not identify who is responsible and/or what evidence will be provided. | Activities identified in the work plan do not align or support the full plan identified in the narrative. | Activities do not include dates, who is responsible, or evidence. |
| 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 limited support of the plan identified in the narrative. Activities identified include range of implementation dates, but did not identify who is responsible and/or what evidence will be provided. | Activities identified in the work plan do not align or support the full plan identified in the narrative. | Activities do not include dates, who is responsible, or evidence. |
| 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 limited support of the plan identified in the narrative. Activities identified include range of implementation dates, but did not identify who is responsible and/or what evidence will be provided. | Activities identified in the work plan do not align or support the full plan identified in the narrative. | Activities do not include dates, who is responsible, or evidence. |

### High-Quality Charter School Evidence – CDE Staff Only

Expansion and Replication Applicants ONLY – High-Quality Eligibility will be determined based on criteria outlined in AB 1505 (<https://www.cde.ca.gov/sp/ch/documents/ab1505results2020.xlsx>). To be eligible for funding, Expansion and Replication applicants must be categorized as High Performing.

| **Narrative Element** | **Criteria 1 OR Criteria 2**  **High Performing** | **Middle or Low Performing** |
| --- | --- | --- |
| 2020 Renewal Criteria Level as determined by the CDE | The charter school meets all of the requirements for presumptive renewal as determined by the CDE. | The charter school does NOT meet all of the requirements for presumptive renewal as determined by the CDE. |
| Replication Applicants OnlyMajority of Charter Schools in the Organization meet the definition of a High Performing School (This includes schools in and out of California) | Replication Applicants OnlyMajority of charter schools under the same governing board meet the Criteria 1 or 2 high performing criteria. Out of state schools will be evaluated based on CA AB 1505 Criteria. | Replication Applicants OnlyMajority of charter schools under the same governing board DO NOT meet the Criteria 1 or 2 high performing criteria. |

## 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 Charter Schools Program (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 Assembly Bill 1505, 1507, and Anderson Union High School District v Shasta Secondary Home School decision.

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

**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 § 4310[3]).

**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 § 4310[5]).

**Charter School:** A public school that provides instruction in any grades kindergarten through 12 and is approved by an authorized public chartering agency as a charter school under the provisions of the federal ESEA § 4310(2) and the California *EC* § 47600 et. seq.

**Charter Schools Program (CSP):** A United States Department of Education (ED) 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 non-profit 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 *CFR* Section 75.525.

**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 California Department of Education (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 Schools Annual Information Survey distributed by the CDE. (Also, see **Locally Funded**.)

**DUNS-Data Universal Numbering System Number:** Required when applying for federal grants or cooperative agreements on or after October 1, 2003.

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

**Educationally Disadvantaged Students (EDS):** Those students identified as Socioeconomically Disadvantaged, English Learners, 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.

**High Quality Charter School:** As defined by ESEA § 4310(8) of ESEA, as amended by the ESSA, means a charter school that:

* Shows evidence of strong academic results, which may include strong student academic growth, as determined by a State;
* Has no significant issues in the areas of student safety, financial and operational management, or statutory or regulatory compliance (may be verified with letter from authorizer);
* Has demonstrated success in significantly increasing school wide student academic achievement, including graduation rates where applicable;
* Has demonstrated success in increasing student academic achievement, including graduation rates where applicable, for a majority of the subgroups of students, as defined in ESEA § 1111(b)(2), except that such demonstration is not required in a case in which the number of students in a group is insufficient to yield statistically reliable information or the results would reveal personally identifiable information about an individual student.

For existing charter schools applying for grants to replicate and expand, the CDE has defined “high-quality” as those schools that meet the high track for renewal in *EC* § 47607, as adopted by the Legislature in AB 1505:

* Received the two highest performance levels schoolwide on all state indicators, which is all blue or green, OR
* Received performance levels schoolwide and for a majority of subgroups that are the same or higher than the state average on the academic performance indicators—test-based indicators for English language arts and math, the English Language Progress Indicator, and the College and Career Indicator.

Additionally, the CDE also includes the following federal definition of high-quality:

* Has no significant issues in the areas of student safety, financial and operational management, or statutory or regulatory compliance
* Demonstrates how the school will comply with the requirements of Senate Bill 126 (Chapter 3, Statutes of 2019).

**Locally Funded:** A funding designation that provides funding for a charter school through the school’s chartering authority, or other local educational agency (LEA). A charter school annually selects its funding status via the Charter Schools Annual Information Survey 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 non-classroom 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* § 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 non-profit agency
    2. New approved charter petition
    3. New governing authority
    4. New administration
    5. Different educational program
    6. New teachers and staff

**Non-classroom Based:** A program that does not meet the requirements defined for a classroom-based program. (Also referred to as non-site based.) See *EC* § 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). 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 Procurements 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 § 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 $500,000 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 *Code of Federal Regulations* at <https://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl>.

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

**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 or grant recipients are charter schools awarded a PCSGP 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.

**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) 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 electronic *Code of Federal Regulations* at <https://www.ecfr.gov/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl>.

Please note that a PCSGP sub-grantee is referred to as “sub-recipient” 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, available at <https://www.ecfr.gov/cgi-bin/text-idx?SID=df876333099acf2f85bedaee2d2a4fda&mc=true&node=se2.1.200_1320&rgn=div8>.
* 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 selection, or in the award 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 is, 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.

Uniform Grant Guidance on Mandatory Disclosures <https://www.ecfr.gov/cgi-bin/text-idx?SID=df876333099acf2f85bedaee2d2a4fda&mc=true&node=se2.1.200_1113&rgn=div8>

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 2 *CFR* §200.338. at <https://www.ecfr.gov/cgi-bin/text-idx?SID=df876333099acf2f85bedaee2d2a4fda&mc=true&node=se2.1.200_1338&rgn=div8>.

### 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. (2 *CFR* §200.67, <https://www.ecfr.gov/on/2017-01-03/title-2/subtitle-A/chapter-II/part-200/subpart-A/subject-group-ECFR2a6a0087862fd2c/section-200.67>)

### 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 Vendors/Contractors

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/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl>

### Suspended and Debarred Parties

The provisions of 2 *CFR* Part 180 (<https://www.ecfr.gov/cgi-bin/text-idx?SID=df876333099acf2f85bedaee2d2a4fda&mc=true&tpl=/ecfrbrowse/Title02/2cfr180_main_02.tpl>) 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. Exclusion records for suspended and debarred parties may be accessed via Advanced Search for Exclusion Records at <http://www.sam.gov/>.

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 *United States Code* [*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 and Minority Firms, 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/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl>.

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.

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 2 *CFR* § 200.313.at <https://www.ecfr.gov/cgi-bin/text-idx?SID=ada1cb46c34dcade410a63de4dc0d038&mc=true&node=se2.1.200_1313&rgn=div8>.

Equipment:

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 §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 *United States Code* (*U.S.C.*) 241–1(b)–(c) and the construction provisions of the Impact Aid Program, 20 *U.S.C.* 631–647.

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 2 *CFR* § 200.314 at <https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=ada1cb46c34dcade410a63de4dc0d038&mc=true&r=SECTION&n=se2.1.200_1314>.

Supplies:

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/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl>.

## 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/cgi-bin/text-idx?SID=6214841a79953f26c5c230d72d6b70a1&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl>.

Financial Management Regulations (2 *CFR* §200.302 <https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=ada1cb46c34dcade410a63de4dc0d038&mc=true&n=sp2.1.200.d&r=SUBPART&ty=HTML#se2.1.200_1302>)

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 entity 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 §200.305 located at <https://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=ada1cb46c34dcade410a63de4dc0d038&mc=true&n=sp2.1.200.d&r=SUBPART&ty=HTML#se2.1.200_1305>.

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: Public Charter Schools Grant Program Resources

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

<http://staging.cde.ca.gov/fg/fo/profile.asp?id=5604> CDE PCSGP Funding Profile

### Public Random Drawing

<https://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=EDC&sectionNum=47605> *Education Code* Section 47605 (Public Random Drawing)

### Request for Application (RFA) Information

<http://www.cde.ca.gov/fg/fo/fm/ff.asp> CDE Required 2020–21 General Assurances and Certifications

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

### Finance and Accounting

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

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

[https://oese.ed.gov/offices/office-of-discretionary-grants-support-services/charter-school-programs/](https://oese.ed.gov/offices/office-of-discretionary-grants-support-services/charter-school-programs/state-entities/funding-and-legislation/) Federal Charter Schools Programs

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

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

<https://www.ecfr.gov/cgi-bin/text-idx?SID=8a285659b1120a018cde02bd389caa1d&mc=true&node=pt2.1.200&rgn=div5> Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

<https://www2.ed.gov/about/offices/list/ope/dunsguide.pdf> DUNS Number Guide Government Vendors

<https://www.sam.gov/SAM/> System of Award Management (SAM)

[https://www.fsd.gov/sys\_attachment.do?sys\_id=4f848ff1dbd9a15094439f95f39619e8](https://www.fsd.gov/sys_attachment.do?sys_id=4f848ff1dbd9a15094439f95f39619e8" \o "SAM Quick Start Guide for Entities Interested in Being Eligible for Grants) SAM Quick Start Guide for Entities Interested in Being Eligible for Grants