

# Guide to Amending a Charter

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October 2017

**Arizona State Board for Charter Schools**

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## Table of Contents

Introduction .....	2
Amendment Process .....	3
General Overview.....	3
Timeframes .....	4
Administrative Completeness Review.....	4
Substantive Completeness Review .....	5
Compliance Checks.....	5
Approval .....	6
Expansion Requests.....	7
Eligibility Criteria .....	8
Special Exclusions.....	8
Maintaining Eligibility.....	9
Staff Recommendation Criteria.....	9
Curriculum Samples .....	9
Financial Performance Requirement .....	<b>Error! Bookmark not defined.</b>
Attachment Guidelines .....	10
General Guidance.....	10
Attachments.....	11
Required Forms .....	11
Charter Holder Documents .....	15
Terms to Know .....	18

## Introduction

The Guide to Amending a Charter (“The Guide”) is a comprehensive document for charter holders that includes information about all components and requirements of the amendment request process. The purpose of this document is to provide guidance and answer common questions about when and how to submit requests. This guidance includes a “Terms to Know” section to further clarify language used in the requests, as well as guidelines for attachments required for some requests. Additionally, it serves to provide clarification to charter holders about the procedures Board staff follows for processing requests once they have been submitted.

Pursuant to ARS §15-183(G), charter contracts may be amended or modified by mutual agreement, in writing, between the charter holder and the Arizona State Board for Charter Schools (“Board”). Charter amendments and modifications requiring prior written approval by the Board are made by submitting an amendment request. The charter holder shall not take action or implement the modification requested until approved by the Board.

*Charter modifications that are not included as part of the amendment request process may be implemented without the approval of the Board.*

Although this guide is intended to be a comprehensive resource for charter holders, not all scenarios can be anticipated. If you are unable to find information in regard to your particular scenario, contact Board staff at 602-364-3080.

## Amendment Process

### General Overview

When a charter holder makes a change to its contract, the Charter Representative must amend the charter by submitting a request prior to implementing the change.

Instructions, specific to each individual amendment request, are available on the Board’s website. Amendment request instructions include eligibility requirements, information about form fields and attachments, and checklists for completeness. The Guide provides additional guidance to assist the charter holder in meeting these requirements.

All amendment requests must be submitted electronically through [ASBCS Online](#) by the charter representative. To access and submit a request through the system, use the following steps:

1. Log in at <https://online.asbcs.az.gov> using your username and password.
2. Under the “Charter Holders” heading, click “Select a Charter”.
3. Click on the correct Charter Holder name for the amendment request being submitted.
4. In the gray bar at the top, click on “Submit Form” to go to the list of online forms.
5. Click on the specific amendment request to be taken to the online form.
6. The online form contains instructions for submission; make sure to review The Guide and the instructions to fully understand the requirements of the amendment request.

The general steps taken in the amendment request process are outlined in the chart below.

Amendment Request Submission	The Charter Representative submits the request using a form in ASBCS Online.
Administrative Review	The amendment request is reviewed for administrative completeness to ensure the components listed in the administrative completeness review checklist are present.  Board staff have 20 business days to complete the administrative review. The charter holder is notified by email of the result of the review.
Substantive Review	The amendment request is reviewed for substantive completeness to determine if all components of the request meet the criteria in the substantive completeness review checklist.  Board staff have 60 business days to complete the substantive review (including the initial 20 days for administrative review). The charter holder is notified by email of the result of the review.
Board Consideration	Substantively complete requests may be considered for approval by the Executive Director, or placed on the Board’s agenda.

## Timeframes

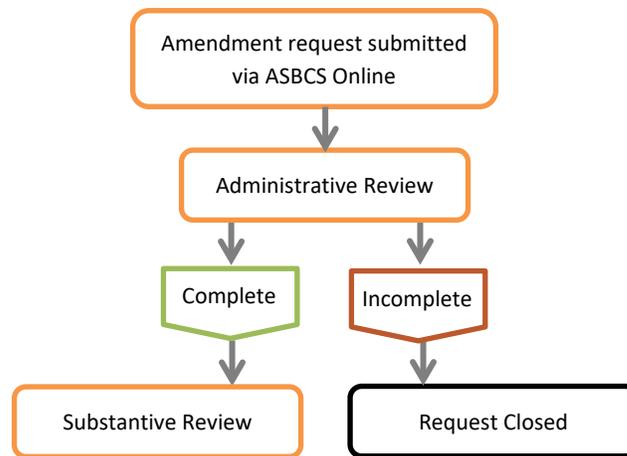
Requests must be submitted timely so that they may be processed within the timeframe provided in Rule. Review the [Meeting Schedule and Amendment Request Submission Timeframes](#) on the Board’s website to determine the deadline for submitting an amendment request to be considered by the Board by a specified date.

Once a request has been submitted, Board staff have 60 business days to process it. Board staff will process amendments in a timely manner in the order in which they are received. If additional information is required during the substantive completeness review, the “clock” is stopped, and starts again once the request has been resubmitted. Any time the clock stops, it may delay the Board’s consideration of the request.

## Administrative Completeness Review

To ensure that all required components of an amendment request have been submitted, an administrative completeness review is conducted. An administrative completeness criteria checklist is included with the instructions for each amendment request. The checklist is used by Board staff to determine whether the request is administratively complete.

The diagram below outlines the steps in the Administrative Review Process:

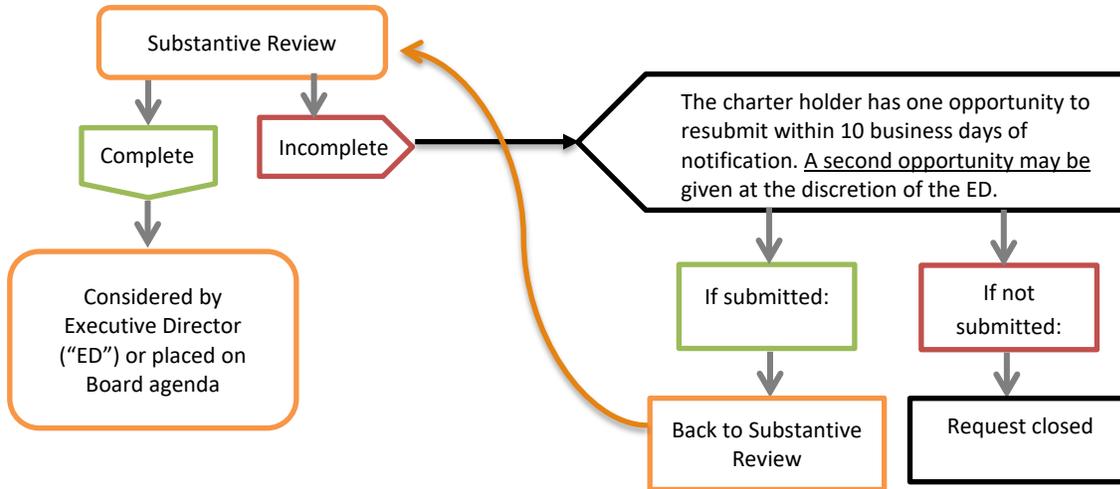


## Substantive Completeness Review

A substantive completeness review is conducted to ensure that all criteria for the amendment request have been met. A substantive completeness criteria checklist is provided for each request.

- A required document and/or response to a narrative prompt will be evaluated as “acceptable” or “not acceptable” by Board staff.
- An “acceptable” narrative response
  - Addresses each applicable part of the prompt;
  - Provides a clear and detailed response; and
  - Is consistent with other information provided with the request.

The diagram below demonstrates the steps in the Substantive Review Process:



## Compliance Checks

Pursuant to Arizona Administrative Code R7-5-505(C) and [policy](#), a compliance check shall occur when a charter holder seeks to amend the charter. An issue identified during the compliance check may be recorded in the charter holder’s operational dashboard, therefore, the charter holder must ensure it is in compliance before submitting an amendment request.

When conducting a compliance check, Board staff reviews the charter holder’s:

- Operational dashboard for the current evaluated year,
- Status with the Arizona Corporation Commission (“ACC”), and
- Alignment between the Principals identified in the charter contract and ACC.

If the compliance check identifies an operational noncompliance issue, the charter holder is required to submit additional information within 30 calendar days of the charter holder’s notification that the amendment request is deemed incomplete.

In accordance with the Board’s Operational Performance Framework, a charter holder “Does Not Meet the Board’s Operational Performance Standard” if it receives one or more “Falls Far Below Standard” ratings and/or six “Does Not Meet Standard” ratings across the Operational Framework’s nine measures for the current fiscal year.

## Approval

Substantively complete amendment requests will be considered for approval. Requests may be signed by the Executive Director, or placed on the agenda of a Board meeting. The list below contains amendment requests that are placed on the Board's agenda:

- Arizona Online Instruction Program of Instruction
- Charter Holder Status—Change in legal status (*consent agenda*<sup>1</sup>)
- Charter Holder Status—Change in ownership (*consent agenda*)
- Enrollment Cap—Increase
- Grade Level Change to Charter—Increase
- New School
- Program of Instruction—Dropout Recovery Program (*consent agenda*)
- School Location with an increase of the enrollment cap
- School Specific Change in Grades Served with an increase of the enrollment cap

The remaining requests may be signed by the Executive Director<sup>2</sup>:

- Charter Holder Governance
- Charter Holder Location
- Charter Holder Status—Change in entity name
- Charter Mission
- Charter Representative
- Enrollment Cap—Decrease
- Grade Level Change to Charter—Decrease
- Instructional Days
- Procurement Laws Exception
- Program of Instruction (*see exception above*)
- School Closure
- School Governing Body
- School Name Change
- School Location—Only
- School Specific Change in Grades Served—Only
- USFRCS Exception

<sup>1</sup> The consent agenda is presented to the Board in a single motion and may not include discussion of individual items. However, Board members may request that an item be pulled from the consent agenda for discussion or individual attention.

<sup>2</sup> These requests may be placed on the Board's agenda at the discretion of the Executive Director.

## Expansion Requests

Expansion requests are amendments that expand a current charter holder's operations by increasing the number of students, range of grade levels, or number of schools. As a result, expansion requests have eligibility criteria, undergo a staff recommendation review, and have additional submission requirements.

The following are expansion requests:

- Adding a new charter school that is currently not in operation under an existing charter contract (New School)
- Adding or changing to an Arizona Online Instruction program of instruction
- Increasing the number of students the charter holder may serve at its school(s) (Enrollment Cap Increase)
- Increasing the grade levels the charter holder is approved to serve (Grade Level Change to Charter)
- Transferring a charter school or charter contract from the current charter holder to an existing charter holder with a different dashboard<sup>3</sup>

An expansion request may be placed on hold as defined in the Audit & Compliance Questionnaire Follow-Up Matrix. The second time Board staff identifies an issue, which the first time required a corrective action plan be submitted, a hold will be placed on expansion amendments until compliance is demonstrated through the next annual audit. The hold affects amendments related to the charter operator's ability to expand and includes adding a school, adding grade levels, and increasing the charter holder's enrollment cap.

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<sup>3</sup> For these requests, only the academic, financial, and operational performance of the receiving charter holder is considered when determining eligibility.

## Eligibility Criteria

In order to be eligible to submit an expansion request, a charter holder, its Associated Charters and Associated Schools (*see Terms to Know*) must meet eligibility criteria based on performance on the academic, financial, and operational dashboards.

Review each question below concerning a charter holder’s academic, financial, and operational performance. A “yes” response to all the questions results in being eligible to submit an expansion request.

Academic <sup>4</sup> Performance	Financial Performance	Operational Performance
Does the charter holder have a current ( <b>most recent fiscal year</b> ) academic, financial <sup>5</sup> , and operational dashboard for each school/charter holder? If YES, answer the following questions.		
Do at least 75% of schools under its charter have a <b>letter grade of “A”, “B”, “ or “C”</b> in the most recent year that state achievement profiles are available for the type of school operated by the charter?	Does the charter holder have a <b>Summative Financial Performance rating of “Good Standing” and/or “Adequate Standing” Standard</b> for the most recent fiscal year presented on the dashboard?	Does the charter holder <b>meet the Board’s operational performance standard</b> for the two most recent fiscal years?
Does the charter holder have Associated Schools or Associated Charters? If YES, answer the remaining questions. If not, this eligibility criteria does not apply to the charter holder.		
Do 75% or more of all Associated Schools have a <b>letter grade of “A”, “B”, “ or “C”</b> in the most recent year that state achievement profiles are available for the type of school operated by the charter; <b>OR</b>  If one or more Associated Schools are excluded, do 100% of the remaining Associated Schools have a minimum rating of <b>“A”, “B”, “ or “C”</b> ?	Do 75% or more of all Associated Charters have a <b>Summative Financial Performance rating of “Good Standing” and/or “Adequate Standing” Standard</b> for the most recent fiscal year presented on the dashboard; <b>OR</b>  If one or more Associated Charters are excluded, either 75% or more of all Associated Charters or no more than one Associated Charter has a <b>Summative Financial Performance rating of “Good Standing” and/or “Adequate Standing” Standard</b> for the most recent fiscal year presented on the dashboard?	Do 75% or more of its Associated Charters meet the Board’s operational performance standard for the two most recent fiscal years?

## Special Exclusions

For academic performance, an Associated School may be excluded if the Associated School is in its first year of operation or has a distinct learning environment (philosophy, population, program of instruction, schedule) that is clearly documented in its charter which is significantly different from the schools operated by the charter holder that will be impacted by the expansion request.

For financial performance, an Associated Charter may be excluded if the Associated Charter is in its first year of operation and has not yet submitted its first audit reporting package to the Board.

To be excluded, the special exclusions form is located at this link: <https://asbcs.az.gov/school-resources/amendment-notification/forms>.

<sup>4</sup> Excluding replication as it has additional requirements which are unchanged by this criteria.

<sup>5</sup> The Board must have received the charter holder’s first audit reporting package for the charter holder to be eligible to submit an expansion request. If the audit reporting package has been submitted but a dashboard is not available through ASBCS Online, please contact your Education Program Manager.

## Maintaining Eligibility

If a charter holder is eligible to submit a request, it must maintain eligibility prior to Board consideration. Eligibility may be impacted during the review process if any of the following occur:

- The Board develops new academic dashboards for the schools operated by the charter holder, Associated School(s), or both. Board staff will reevaluate the charter holder's eligibility based on the most recent fiscal year academic dashboard.
- The Board receives the next audit reporting package for the charter holder, Associated Charter(s), or both. Board staff will update the applicable dashboard(s) and reevaluate the charter holder's eligibility based on the most recent audit reporting package(s).
- The Board receives new operational data for the charter holder, Associated Charter(s), or both. Board staff will update the applicable dashboard(s) and reevaluate the charter holder's eligibility based on the most recent fiscal year operational dashboard.

If the charter holder is determined to no longer be eligible based on any of the above, Board staff will notify the charter holder and close the request.

## Staff Recommendation Criteria

Recommendation criteria will be used to determine if Board staff will recommend the Board approve the expansion request. The criteria to receive a staff recommendation for each request are included in the request instructions. A charter holder must fulfill all listed criteria to receive a staff recommendation for expansion.

An expansion request that fulfills all listed criteria and receives a staff recommendation may be placed on the consent agenda of a regular Board meeting.

## Curriculum Samples

Curriculum samples are an additional submission requirement for the Grade Level Change to Charter Amendment Request. This requirement only applies to charter holders who operate one or more schools that did not receive an Overall Rating of "Exceeds Standard" or "Above Standard" in the most recent year. If all schools under the charter received an Overall Rating of "Exceeds Standard" or "Above Standard" in the most recent year, no curriculum samples will be required. For further information about curriculum sample guidelines, see the Grade Level Change to Charter Amendment Request instructions and Curriculum Sample Instructions and Template on the ASBCS website.

## Attachment Guidelines

### General Guidance

Amendment requests require the attachment of documents. Attachments will include completed forms provided by ASBCS and/or documents created by the charter holder. Each request identifies the specific attachments required for the request, as well as the administrative and substantive completeness requirements for each document. This section provides general guidance about formatting, uploading, and saving attachments.

### Formatting

The following specifications apply to all documents created by the charter holder:

- Fonts must be no less than 11 point;
- Attachments must be saved in PDF format prior to attaching; and
- Scanned images must be legible and no less than 100% of the original size, except for building floor plans or architectural renderings, which must be at the original size.

### Uploading and Saving Files

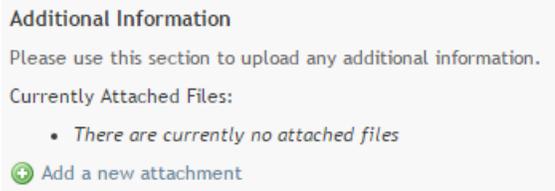
Before uploading and saving a document, ensure that it meets all criteria, is thoroughly proofread, and contains accurate information.

***In sections allowing only a single document:***



- Click on **Choose File**. A window will open allowing you to select the document on your computer. Click on the document and click **Open**. Once the path and name appears in the box, click **Save and Continue**. The document name will be changed to reflect the section title. Once saved, click **View uploaded file** to ensure that the correct document was uploaded. To revise the document before submitting, upload and save again – the previous version will be automatically removed.

***In sections allowing multiple document uploads:***



- Many sections require multiple documents to be uploaded. In these sections, for each document, click **Add a New Attachment**. Click on **Browse**. A window will open allowing you to select the document on your computer. Click on the document and click **Open**. Write a **Brief Description** of the file in the box (e.g., 4th Grade Reading, Bylaws). Once the path and name appears in the box, click **Add Attachment**. Click **Save and Continue**, at which point the document name will be modified, with a prefix at the beginning and a number at the end. Once saved, click **View/download file** to ensure that the correct document was uploaded. To revise a document before submitting, click **remove** to delete the old one before uploading the new one.

**Note:** Once you click **Open**, the document will be saved to your browser, NOT to the ASBCS Online system. You must click **Save and Continue** to transfer the document to the ASBCS Online system. Documents uploaded but not saved may timeout, and will need to be uploaded again.

## Attachments

This section provides information about the content of the attachments that are required throughout the requests. Each individual amendment request has an “Attachments” section that identifies which of these specific attachments is required with the submission. Note that numerous requests include the same attachments, as indicated below. Many of the attachments are required forms that must be filled out and/or signed, then scanned and uploaded with each request.

## Required Forms

The following attachments are required forms that must be used as part of the request. These forms may not be altered from the approved content and format. These forms are located at the following link:

<https://asbcs.az.gov/school-resources/amendment-notification/forms>.

## Affidavit

An Affidavit, Disclosure, and Consent for Background and Credit Check must be completed for each new Charter Representative or Principal added by the amendment request. Each form must be signed and dated by the individual named on the form, and must be notarized before it is scanned and uploaded with the request.

### Included in the following amendments:

- Charter Holder Governance
- Charter Holder Status
- Charter Representative

## Agricultural Land Regulation Assurance and Understanding

An Agricultural Land Regulation Assurance and Understanding form must be completed and signed by a Charter Representative to demonstrate the Charter Holder will comply with Arizona Revised Statute §15-183(U).

### Included in the following amendments:

- Enrollment Cap (Increase only)
- Grade Level Change to Charter (Increase only)
- New School
- School Location
- School Specific Change in Grades (Increase only)

## Background Information Sheet

Both pages of the Background Information Sheet must be completed for each new Charter Representative or Principal added by the **Charter Holder Status Amendment**. Information included on the Background Information Sheet must be consistent with the résumé and transcripts.

## Curriculum Samples

Curriculum samples provide a representation of a program of instruction aligned to Arizona Academic Standards and to the methods of instruction described in the charter. The curriculum samples provide an opportunity for the charter holder to demonstrate the capacity to develop a curriculum aligned to these

Standards in the areas of Reading, Writing, Math, and Science for grades being added through a **Grade Level Change to Charter Amendment**.

More specific directions regarding formatting, page limits, choosing standards, and expectations for addressing instructional rigor can be found on the Curriculum Sample Template (found on the ASBCS website, in the ASBCS Online Help Files, and in the Grade Level Change to Charter Amendment Request Instructions).

### *Declaration of Consistency*

The Declaration of Consistency confirms the charter holder's understanding that its board membership must be consistent with its current bylaws or operating agreement. When changes are being made to the Charter Principals, the form also confirms the charter holder's understanding that the Charter Principals on file in the charter contract must be aligned with the individuals identified with the Arizona Corporation Commission. The form must be signed by the Charter Representative, accompany a **Charter Holder Governance Amendment** or **School Governing Body Amendment**, and be uploaded in the Declarations section of the request.

### *Declaration of Payment, Benefit, or Consideration*

A Declaration of Payment, Benefit, or Consideration must be completed, signed, and uploaded for each Charter Representative, Principal, or Governing Body Member added or removed by an amendment request. The form must indicate whether the individual is receiving any payment, benefit, or consideration as part of the role for which the individual is being added or removed. If payment, benefit, or consideration is a component of the transition, an explanation **must** be included on the form.

#### **Included in the following amendments:**

- Charter Holder Governance
- Charter Holder Status
- Charter Representative
- School Governing Body

### *Enrollment Matrix*

On the Enrollment Matrix, the charter holder will identify three-year enrollment projections. An Enrollment Matrix must be completed and uploaded for each school operated by the charter, identifying the current and target enrollments, should the request be granted. In the case of a New School Amendment, the charter holder must also submit an Enrollment Matrix describing the subsequent three fiscal years for the proposed school.

#### **Included in the following amendments:**

- Enrollment Cap (Increase only)
- Grade Level Change to Charter (Increase only)
- New School
- School Location
- School Specific Change in Grades Served (Increase only)

The image below provides an example of a completed Enrollment Matrix.

School Name: ABC Charter School

Grade Level	Number of Students			
	Current—FY17	Target—FY18	Target—FY19	Target—FY20
K	0	0	0	0
1	0	0	0	0
2	0	0	0	0
3	0	0	0	0
4	0	0	0	0
5	0	0	0	0
6	72	72	72	72
7	72	72	72	72
8	72	72	72	72
9	0	24	48	72
10	0	0	24	48
11	0	0	0	24
12	0	0	0	0
<b>Total Enrollment</b>	216	240	288	360

**Instructional Hours Matrix**

An Instructional Hours Matrix must be completed for each school requesting a change in instructional days through an **Instructional Days Amendment**. The form should indicate the exact number of instructional hours that will be provided for the year for each grade level served at the school. Charter holders must ensure that the instructional hours comply with A.R.S. §15-901.

**Occupancy Compliance Assurance and Understanding Form**

If the charter holder is unable to submit a Certificate of Occupancy and Fire Marshal’s Inspection Report for a school facility, this form may be signed by the charter representative to demonstrate an understanding that those documents are required to be submitted prior to the school’s opening date, and the state equalization payment will be withheld until the appropriate documentation has been received.

**Included in the following amendments:**

- Enrollment Cap (Increase only)
- Grade Level Change to Charter (Increase only)
- New School
- School Location
- School Specific Change in Grades (Increase only)

**Special Exclusions for Associated Charters and Schools**

If the charter holder is applying for expansion, but believes one or more associated charters and/or schools should be excluded from its determination of eligibility, this form should be completed and submitted with the amendment. Included in all **Expansion Requests**.

**Staffing Chart**

On the Staffing Chart, the charter holder will identify an anticipated three-year staffing plan. On the first page, identify the number of staff members including administrative, instructional, and non-instructional staff, as well as the sum total at the bottom of the chart. The second page includes a chart identifying the leadership

## Guide to Amending a Charter

team by name. On this chart, identify specific individuals to demonstrate how existing leadership will be leveraged to implement the changes brought on by the request.

**Included in the following amendments:**

- Enrollment Cap (Increase only)
- Grade Level Change to Charter (Increase only)
- New School
- School Specific Change in Grades (Increase only)

The images below provide an example of both components of a completed Staffing Chart.

School Name: ABC Charter School

Position	Number of Staff Members			
	Current—FY17	Anticipated—FY18	Anticipated—FY19	Anticipated—FY20
Administration	1	1	1	1
Teachers/Instructional Staff				
Kindergarten	0	0	0	0
1 <sup>st</sup>	0	0	0	0
2 <sup>nd</sup>	0	0	0	0
3 <sup>rd</sup>	0	0	0	0
4 <sup>th</sup>	0	0	0	0
5 <sup>th</sup>	0	0	0	0
6 <sup>th</sup>	3	3	3	3
7 <sup>th</sup>	3	3	3	3
8 <sup>th</sup>	3	3	3	3
9 <sup>th</sup>	0	2	2	3
10 <sup>th</sup>	0	0	2	2
11 <sup>th</sup>	0	0	0	1
12 <sup>th</sup>	0	0	0	0
Specialty Staff (Music, Art, PE, etc.)	3	3.5	4	4
Special Education	1	1	1	1
Paraprofessional	1	1	2	2
Additional Staff				
List title: Instructional Coach	0	0	1	1
List title: Office Staff	1	1	2	2
List title: Lunch Staff	1	1	2	2
List title:				
<b>Total Number of Staff Members</b>	<b>17</b>	<b>19.5</b>	<b>26</b>	<b>28</b>

School Name: ABC Charter School

Title	Leadership Team			
	Current—FY17	Anticipated—FY18	Anticipated—FY19	Anticipated—FY20
Principal	Morgan Olmos	Morgan Olmos	Morgan Olmos	Morgan Olmos
Instructional Coach	N/A	N/A	Michelle Mills	Michelle Mills
6 <sup>th</sup> Grade Lead	Ed Freeman	Ed Freeman	Ed Freeman	Ed Freeman
7 <sup>th</sup> Grade Lead	Michelle Mills	Michelle Mills	TBD	TBD
8 <sup>th</sup> Grade Lead	Hayley Pfeiffer	Hayley Pfeiffer	Hayley Pfeiffer	Hayley Pfeiffer

### Charter Holder Documents

The following attachments must be included, as indicated by the instructions, for an individual amendment request. These documents are created or obtained by the charter holder must be saved as a PDF and uploaded with the request.

#### *Board Minutes or Board Resolutions*

Board minutes/board resolutions demonstrate that the proposed change has been approved by the charter holder (approving board). All amendment requests require this document. Ensure that the board minutes/board resolutions provide evidence that the:

- Proposed change has been approved or addressed by the charter holder (approving board);
- Approving board aligns with what is currently on file with ASBCS; and
- Board minutes comply with Open Meeting Law (if applicable); or
- Board resolution is signed by all current board members if the approving board is not subject to Open Meeting Law.

#### *Daily Instructional Schedules*

Provide the instructional schedule for each grade level served by the school for which an **Instructional Days Amendment** is requested. Ensure that the schedules clearly identify which time periods are instructional, and which are not. If the school calendar identifies any alternative daily schedules (e.g. early release days), ensure that instructional schedules include the time periods for these days.

#### *Facility Documentation*

##### *Certificate of Occupancy*

A Certificate of Occupancy must include the address of the charter school and indicate that the facility is approved for educational use.

##### **Included in the following amendments:**

- Enrollment Cap (Increase only)
- Grade Level Change to Charter (Increase only)
- New School
- School Location
- School Specific Change in Grades (Increase only)

##### *Fire Marshal's Inspection Report*

A Fire Marshal's Inspection Report that includes the address of the school and an indication that the facility is approved for educational use must be uploaded. Please note that the Board only accepts State Fire Marshal's Inspection Reports unless the issuing entity is on the State's Letter of Appointment ("LOA") list.

An LOA is an agreement entered into by the fire chiefs of a city, town, county, volunteer fire company, or protective district to act within their area of jurisdiction on behalf of the Arizona State Fire Marshal. Jurisdictions have the authority to issue permits, review plans for construction, remodeling, alterations, and additions of state, county, and public school buildings and grounds and the inspections performed in conjunction therewith; as well as regularly scheduled inspections of state and county owned buildings and all public and private schools. For a list of jurisdictions that have entered into a LOA, please contact the State Fire Marshal.

**Included in the following amendments:**

- Enrollment Cap (Increase only)
- Grade Level Change (Increase only)
- New School
- School Location
- School Specific Change in Grades (Increase only)

*Capacity Documentation*

Some requests require that documentation demonstrates a building has appropriate capacity to implement the request as submitted. For these requests, if the Certificate of Occupancy and/or Fire Marshal's Inspection Report do not list the building capacity, additional documentation (e.g. floor plans with classroom square footage, architectural drawings indicating internal building dimensions) and a description of how the space is sufficient for the appropriate number of students is required. Hand-drawn images will not be accepted.

**Included in the following amendments:**

- Enrollment Cap (Increase only)
- Grade Level Change (Increase only)
- New School
- School Location
- School Specific Change in Grades (Increase only)

*Lease Agreement, Proof of Purchase, or Builder Contract*

A charter holder is required to maintain ownership, a lease, or other suitable agreement covering the use of all facilities. With a **New School Amendment** or **School Location Amendment**, upload a copy of documentation that demonstrates a secured facility for the school's use.

*School Location Liability Insurance Coverage*

A charter holder submitting a **New School Amendment** or **School Location Amendment** must obtain and maintain insurance in accordance with the laws of the State of Arizona. A Certificate of Liability Insurance that identifies the charter holder by name must be uploaded with the request.

**Financial Documentation**

If a charter holder does not meet the Board's financial performance expectations, financial documentation is required as part of submitting an expansion amendment request. The financial documentation must include the following:

- A financial performance response that addresses each measure for the most recent audited fiscal year presented in the dashboard where the charter holder received a "Does Not Meet Standard". For additional information regarding the financial performance response, please see Appendix C of the [Financial Performance Framework and Guidance](#).
- A start-up budget detailing all expenditures that cover the start-up plans. (until August 1 of the year the school opens).
- A first-year operational budget detailing all expenditures that cover the first year of operation.
- For each budget, a separate document describing assumptions for each line item, to include disaggregated costs, and basis for determining those costs.
  - Demonstrate through the assumptions that the amounts listed are viable and adequate for the start-up period and first year of operation, including a description of how revenues cover expenses.
  - If the revenues do not cover expenses, describe how this will not negatively affect the charter holder's overall financial performance.

### *Fingerprint Clearance Card*

A scanned copy of the **front and back** of the individual's valid Fingerprint Clearance Card ("FCC"), issued by the Arizona Department of Public Safety is required. Applications for a FCC or evidence of submission of an application for a card are not accepted.

#### **Included in the following amendments:**

- Arizona Online Instruction Program of Instruction
- Charter Holder Governance
- Charter Holder Status
- Charter Representative
- New School

### *Narrative*

Upload a PDF of the charter holder's written document that addresses all prompts in a manner that meets the substantive completeness requirements, as indicated in the amendment request instructions.

### *Policy for Accounting*

For a **USFRCS Exception Amendment**, schools must submit an accounting policy. Schools should seek the advice of financial experts when developing specific procedures to ensure they comply with generally accepted accounting principles ("GAAP") and budgeting and annual financial reporting requirements. A Sample Accounting Policy is found on the ASBCS website to provide general guidance when creating this policy to meet the charter's own needs and procedures. Upload a PDF of the charter holder's Policy for Accounting.

### *Policy for Procuring Goods and Services*

For a **Procurement Laws Exception Amendment**, schools must submit a procurement policy. A Sample Procurement Policy is found on the ASBCS website to provide general guidance when creating this policy to meet the charter's own needs and procedures. Upload a PDF of the charter holder's Policy for Procuring Goods and Services.

### *Résumé*

A current résumé for each individual being added as a Charter Representative or Principal must be uploaded. For the Charter Holder Status Amendment, the résumé must align with the information included on the Background Information Sheet and transcripts.

#### **Included in the following amendments:**

- Charter Holder Governance
- Charter Holder Status
- Charter Representative

### *School Calendar*

Provide the school calendar for the fiscal year in which the charter holder intends to implement the **Instructional Days Amendment**. The calendar should be in the format of a standard calendar, rather than a list of dates. Ensure that the calendar indicates any days which operate on an alternate daily schedule (e.g. conferences or early release days).

### *Transcripts*

If a postsecondary degree is noted on the Background Information Sheet and résumé of an individual being added as a Charter Representative or Principal in a **Charter Holder Status Amendment**, the request must include scanned copies of transcripts from the granting institution, or an official, watermarked report from the National Student Clearinghouse. If postsecondary documentation is not being provided by the individual as part of the request, a No Postsecondary Transcript Form must be completed and uploaded.

## Terms to Know

Associated Charter—A charter operated by a charter holder:

- That contracts with the same Education Service Provider,
- Under different charter contracts, or
- With at least 50 percent of officers, directors, members or partners in common as reflected in the charter contract.

Associated School—A school operated by a charter holder:

- That operates one or more other schools that contract with the same Education Service Provider,
- That operates other schools under different charter contracts, or
- With at least 50 percent of officers, directors, members or partners in common, as reflected in the charter contract.

Charter contract—The legally binding agreement between the Arizona State Board for Charter Schools and the entity approved to operate the school(s).

Charter Representative—An individual with the power to bind a charter holder contractually according to the Charter Holder’s Articles of Incorporation, operating agreement, or by-laws and is the point of contact with the Board for the purposes of communication and accountability to charter terms and conditions.

Concrete resources—Financial support or tangible items provided to staff to aid in implementation of curriculum or professional development strategies.

Criteria—The standard by which Board staff determinations will be made for administrative and substantive completeness reviews, and a staff recommendation for approval to the Board.

Curriculum—The content, programs, and materials that teachers will utilize with students to allow achievement of educational outcomes and mastery of standards.

Curriculum sample—A written description of instructional strategies, student activities, and assessment items (including a copy of the summative assessment items and answer key or scoring rubric, whichever applicable), and a description of the necessary materials/resources, which will provide the opportunity for a student starting at a specified level of knowledge and skill to attain mastery of the chosen Standard (English Language Arts and Math)/Performance Objective (Science).

Education Service Provider (“ESP”)—Any number of organizations that contract with or have a governance relationship with the entity to provide comprehensive services. The major types of ESPs that serve charter schools are the education management organization (“EMO”) and charter management organization (“CMO”). For the purposes of a request:

- An ESP is considered a CMO if it has a governance relationship with the charter holder in which the charter holder is a subsidiary of the ESP, the charter holder board has members that are members or employees of the ESP, and/or the ESP has ultimate executive authority over the charter holder, including the power to appoint board members and/or close a school operated by the charter holder.
- An ESP is considered an EMO if it will contractually provide operations and management to the charter holder, but the charter holder chooses the affiliation and is independent of the ESP.

Fingerprint Clearance Card (“FCC”)—A card issued by the Arizona Department of Public Safety after a state and federal criminal records check has been conducted.

Fiscal Year—The twelve-month period that begins on July 1<sup>st</sup> and ends on June 30<sup>th</sup>.

Governing Body—The body responsible for the policy decisions of the school, as described in A.R.S. § 15-183 (E)(8).

Instruction—The methodology used by teachers to present curriculum to students.

Post-Secondary—Coursework completed after a high school degree has been earned.

Principal—An officer, director, member, partner, or board of a charter holder.

Procurement Laws—State procurement requirements identified in A.R.S. §§15-213 and 15-189.02 and the administrative rules adopted by the State Board of Education prescribing school procurement practices.

Rigor—An expectation set by the Arizona Academic Standards that includes a level of conceptual understanding, procedural skill and fluency, and application the student must master at that grade level.

Target Area—The anticipated area in which the school intends to operate.

Target Population—The anticipated student population of the school.

Uniform System of Financial Records for Charter Schools (“USFRCS”)—Internal control structure policies and procedures for accounting, financial reporting, and budgeting developed by the Office of the Auditor General