U.S. Department of Education

Washington, D.C. 20202-5335

APPLICATION FOR GRANTS UNDER THE

GRANTS FOR NATIONAL LEADERSHIP ACTIVITIES
CFDA # 84.282N
PR/Award # U282N100020

Closing Date: MAY 14, 2010

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This application was generated using the PDF functionality. The PDF functionality automatically numbers the pages in this application. Some pages/sections of this application may contain 2 sets of page numbers, one set created by the applicant and the other set created by e-Application's PDF functionality. Page numbers created by the e-Application PDF functionality will be preceded by the letter e (for example, e1, e2, e3, etc.).

Application for Federal Assistance SF-424 Version 02

* 1. Type of Submission	* 2. Type of Application:	* If Revision, select appropriate letter(s):
[ ] Preapplication	[X] New	
[X] Application	[ ] Continuation	* Other (Specify)
[ ] Changed/Corrected Application	[ ] Revision	

* 3. Date Received:	4. Applicant Identifier:
5/14/2010	

5a. Federal Entity Identifier:	* 5b. Federal Award Identifier:
NA	NA

State Use Only:

6. Date Received by State:	7. State Application Identifier:

8. APPLICANT INFORMATION:

* a. Legal Name: National Association of Charter School Authorizers

* b. Employer/Taxpayer Identification Number (EIN/TIN):	* c. Organizational DUNS:
841553195	029991606

d. Address:

* Street1:	105 West Adams Street
Street2:	Suite 3500
* City:	Chicago
County:	Cook
State:	IL
Province:	
* Country:	USA
* Zip / Postal Code:	60603

e. Organizational Unit:

Department Name:	Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:	Mr.	* First Name:	Greg
Middle Name:			

* Last Name:	Richmond		
Suffix:			
Title:	President and CEO		
Organizational Affiliation: NACSA			
* Telephone Number:	(312)376-2311	Fax Number:	(312)376-2400
* Email:	GREGR@QUALITYCHARTERS.ORG		

Application for Federal Assistance SF-424 Version 02

9. Type of Applicant 1: Select Applicant Type:

M: Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

10. Name of Federal Agency:

U.S. Department of Education

11. Catalog of Federal Domestic Assistance Number:

84.282N

CFDA Title:

Grants for National Leadership Activities

*** 12. Funding Opportunity Number:**

ED-GRANTS-032310-003

Title:

Charter Schools Program (CSP) Grants for National Leadership Activities

13. Competition Identification Number:

NA

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

NA

*** 15. Descriptive Title of Applicant's Project:**

Creating Quality Charter Schools through Performance Management, Replication and Closure Project (PMRC)

Attach supporting documents as specified in agency instructions.

Attachment:
Title :
File :

Attachment:
Title :
File :

Attachment:
Title :
File :

Application for Federal Assistance SF-424 Version 02

16. Congressional Districts Of:
* a. Applicant: IL-7 * b. Program/Project: US-ALL

Attach an additional list of Program/Project Congressional Districts if needed.
Attachment:
Title :
File :

17. Proposed Project:
* a. Start Date: 7/1/2010 * b. End Date: 6/30/2013

18. Estimated Funding ($):

a. Federal	**$ 2242059**
b. Applicant	**$**
c. State	**$**
d. Local	**$**
e. Other	**$**
f. Program Income	**$**
g. TOTAL	**$ 2242059**

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

[ ] a. This application was made available to the State under the Executive Order 12372 Process for review on .
[X] b. Program is subject to E.O. 12372 but has not been selected by the State for review.
[ ] c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

[ ] Yes [X] No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

[X] ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix:	Mr.	* First Name:	Greg
Middle Name:			
* Last Name:	Richmond		
Suffix:			

Title:	President and CEO

* Telephone Number:	(312)376-2311	Fax Number:	(312)376-2400

* Email:	GREGR@QUALITYCHARTERS.ORG

* Signature of Authorized Representative:	* Date Signed:

Application for Federal Assistance SF-424 Version 02

*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

U.S. DEPARTMENT OF EDUCATION

BUDGET INFORMATION

NON-CONSTRUCTION PROGRAMS

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:
National Association of Charter ...

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY

U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1(a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	$ 141,146	$ 141,965	$ 128,196	$ 0	$ 0	$ 411,307
2. Fringe Benefits	$ 33,875	$ 34,072	$ 30,767	$ 0	$ 0	$ 98,714
3. Travel	$ 69,700	$ 32,000	$ 21,000	$ 0	$ 0	$ 122,700
4. Equipment	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
5. Supplies	$ 1,770	$ 2,278	$ 3,154	$ 0	$ 0	$ 7,202
6. Contractual	$ 375,000	$ 419,000	$ 431,500	$ 0	$ 0	$ 1,225,500
7. Construction	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
8. Other	$ 44,528	$ 36,957	$ 54,930	$ 0	$ 0	$ 136,415
9. Total Direct Costs (lines 1-8)	$ 666,019	$ 666,272	$ 669,547	$ 0	$ 0	$ 2,001,838
10. Indirect Costs*	$ 79,922	$ 79,953	$ 80,346	$ 0	$ 0	$ 240,221
11. Training Stipends	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
12. Total Costs (lines 9-11)	$ 745,941	$ 746,225	$ 749,893	$ 0	$ 0	$ 2,242,059

***Indirect Cost Information *(To Be Completed by Your Business Office)*:**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? [ ] Yes [X] No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: __/__/____ To: __/__/____ (mm/dd/yyyy)

Approving Federal agency: [ ] ED [ ] Other (please specify): _____ The Indirect Cost Rate is 0%

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

[ ] Is included in your approved Indirect Cost Rate Agreement? or, [ ] Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is 0%

ED Form No. 524

U.S. DEPARTMENT OF EDUCATION

BUDGET INFORMATION

NON-CONSTRUCTION PROGRAMS

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:
National Association of Charter ...

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION B - BUDGET SUMMARY

NON-FEDERAL FUNDS

Budget Categories	Project Year 1(a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
2. Fringe Benefits	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
3. Travel	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
4. Equipment	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
5. Supplies	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
6. Contractual	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
7. Construction	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
8. Other	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
9. Total Direct Costs (lines 1-8)	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
10. Indirect Costs	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
11. Training Stipends	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
12. Total Costs (lines 9-11)	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Standard Form 424B (Rev.7-97)

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. "4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. "1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. '794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. "276a to 276a-7), the Copeland Act (40 U.S.C. '276c and 18 U.S.C. "874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. " 327-333), regarding labor standards for federally assisted construction sub-agreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. "1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. "7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. "1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance

of 1975, as amended (42 U.S.C. " 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) " 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. " 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. ' 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. "1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. '470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. "469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. "2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. "4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

Signature of Authorized Certifying Representative:
Name of Authorized Certifying Representative: Greg Richmond
Title: President and CEO
Date Submitted: 05/04/2010

Approved by OMB 0348-0046 Exp.

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

1. Type of Federal Action:	**2. Status of Federal Action:**	**3. Report Type:**
[ ] Contract [X] Grant [ ] Cooperative Agreement [ ] Loan [ ] Loan Guarantee [ ] Loan Insurance	[X] Bid/Offer/Application [ ] Initial Award [ ] Post-Award	[ ] Initial Filing [ ] Material Change **For Material Change only:** Year: 0Quarter: 0 Date of Last Report:

4. Name and Address of Reporting Entity:	**5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:**
[X] Prime [ ] Subawardee Tier, if known: 0 Name: National Asso. of Charter School Auth. Address: 105 West Adams, Suite 3500 City: Chicago State: IL Zip Code + 4: 60603-6223 **Congressional District, if known:** 07	Name: Address: City: State: Zip Code + 4: - **Congressional District,** if known:
6. Federal Department/Agency: US Dept. of Ed.; US Congress	**7. Federal Program Name/Description:** Public Charter School Program CFDA Number, if applicable: 84.282B
8. Federal Action Number, if known: Unknown	**9. Award Amount,** if known: $0
10. a. Name of Lobbying Registrant (if individual, last name, first name, MI): Mattoon & Associates Address: 660 Pennsylvania Ave. SE, Suite 301 City: Washington State: DC Zip Code + 4: 20003-4359	**b. Individuals Performing Services** (including address if different from No. 10a) (last name, first name, MI): Mattoon, Dan Address: City: State: Zip Code + 4: -
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.	Name: Greg Richmond Title: President and CEO Applicant: National Association of Charter School Authorizers Date: 05/04/2010

Federal Use Only:	Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

APPLICANT'S ORGANIZATION	
National Association of Charter School Authorizers	
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
Prefix: Mr. First Name: Greg	Middle Name:
Last Name: Richmond	Suffix:
Title: President and CEO	
Signature: _____	Date: 05/04/2010

ED 80-0013 03/04

Section 427 of GEPA

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P. L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0005**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537.

Applicants should use this section to address the GEPA provision.

Attachment:
Title : NACSA Letter of Assurance
File : C:\fakepath\NACSA Letter of Assurance 427 GEPA.doc

nacsa
NATIONAL ASSOCIATION OF CHARTER SCHOOL AUTHORIZERS

quality charter schools

May 14, 2010

To Whom It May Concern:

NACSA was founded in order to expand the availability of a high quality education for America's children. The organization has a decade-long history of working to realize this vision through improving authorizing oversight in the public interest. Protection of the rights of access for all individuals to a high quality education is embedded in the organization's *Principles and Standards for Quality Charter School Authorizing*. We work to ensure that all charter schools guarantee full access and equal treatment of all students and staff regardless of race, gender, national origin, color, disability or age.

NACSA in its own employment and contracting policies and practices is also committed to guaranteeing full access and equal treatment of all people regardless of race, gender, national origin, color, disability or age.

The organization remains committed to ensuring the broad dissemination of information and resources. All project deliverables will be published in print and electronically and disseminated through a variety of accessible channels including briefings, workshops, conferences, webinars, podcasts and publications.

Please feel free to contact me with any questions regarding our policies and practices.

Sincerely,

Greg Richmond

President & CEO

105 W. Adams Street, Suite 3500
Chicago, IL 60603-6253

p 312.376.2300 f 312.376.2400

www.qualitycharters.org

SUPPLEMENTAL INFORMATION REQUIRED FOR DEPARTMENT OF EDUCATION GRANTS

1. Project Director:

Prefix:	* First Name:	Middle Name:	* Last Name:	Suffix:
Mr.	Greg		Richmond	

Address:

* Street1: 105 West Adams Street

Street2: Suite 3500

* City: Chicago

County:

* State: IL* Zip / Postal Code: 60603 * Country: **USA**

* Phone Number (give area code)	Fax Number (give area code)
(312)376-2311	(312)376-2400

Email Address:

GREGR@QUALITYCHARTERS.ORG

2. Applicant Experience

Novice Applicant [ ] Yes [X] No [ ] Not applicable

3. Human Subjects Research

Are any research activities involving human subjects planned at any time during the proposed project period?

[ ] Yes [X] No

Are ALL the research activities proposed designated to be exempt from the regulations?

[ ] Yes Provide Exemption(s) #:

[ ] No Provide Assurance #, if available:

Please attach an explanation Narrative:

Attachment:
Title : NA
File : NA

Project Narrative

Abstract

Attachment 1:
Title: **NACSA Project Abstract** Pages: **1** Uploaded File: **NACSA Proposal Abstract.pdf**

Abstract

The National Association of Charter School Authorizers in partnership with the Aspen Institute Commission on No Child Left Behind, the Council for Chief State School Officers, and Bellwether Education Partners, propose the *Creating Quality Charter Schools through Performance Management, Replication and Closure Project* ("PMRC") to address the urgent need to develop and launch new policies and strategies that will improve educational opportunities for children nationwide.

The charter school sector leads the nation in developing new strategies of performance management, replication and closure - core components of authorizers' work; however, the systems for defining, measuring and acting upon school quality, for replicating good schools and closing failing schools are sparse, inconsistent and/or inadequate to meet the increasing demands for quality schools. PMRC will leverage the current effective practices of authorizers that have demonstrated success in these areas to develop model policies and practices that can be implemented across the nation. PMRC will exponentially increase the number of authorizers with charter school replication and closure policies and practices that are aligned to and driven by a comprehensive and integrated research-based school performance management model.

PMRC will document the effective policies and practices of model authorizers in the three core areas; develop a comprehensive research-based set of integrated policies and practices with the support of a key stakeholders; pilot the model at four demonstration sites; and disseminate promising practices to audiences with direct authority to influence change in charter school authorizing. The targeted beneficiaries of these resources and services – state chiefs, authorizers, local school system leaders and policy leaders – have the power and motivation to put these new resources and supports directly to work in their communities to improve the educational opportunities available to children for years to come.

Project Narrative

Invitational Priority

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Invitational Priority

The National Association of Charter School Authorizers, in partnership with the Aspen Institute Commission on No Child Left Behind ("Aspen Institute"), the Council of Chief State School Officers ("CCSSO") and Bellwether Education Partners, proposes the *Creating Quality Charter Schools through Performance Management, Replication and Closure Project* ("PMRC") **to increase the supply of quality charter schools through advanced replication strategies, to expand the capacity of states and authorizers to hold charter schools accountable for increasing student achievement, and to better inform decisions on when to close low-performing schools**. The goal of the project is to increase the number of states and authorizers that use a comprehensive research-based set of integrated school performance policies and practice models to make data-driven charter school replication and closure decisions. This project will work with authorizers that serve both urban and rural populations to establish integrated performance, replication and closure practices that continuously produce better educational opportunities for students. The lessons from the project will directly improve and expand quality within the charter school sector and will inform state and local policies and practices that improve all of K-12 public education.

Project Narrative

Project Narrative

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(i) Need for Project

Across the nation public officials and education leaders are urgently developing new policies and strategies to improve educational opportunities for children by redesigning a wide range of traditional practices. These strategies include better measures of school quality. Using these better measures, leaders are looking for effective strategies to increase the number of good schools available to students in a community, by closing weak schools and replacing them with new schools based on proven models. U.S. Secretary of Education Arne Duncan has made this work a core priority for the Administration, citing the roughly 2000 high schools that produce one-half of the nation's dropouts. While the need for new schools is not limited to the high school level, the Secretary has observed a stunning gap in past policy and practice: many of the dropout factory schools have not participated in previous school improvement activities. Duncan has noted that only "61 percent of dropout factories are eligible for—and, many analysts believe, even fewer actually receive—these funds."

The charter school sector leads the nation in developing new strategies of performance management, replication and closure. In cities and states across the country, charter school authorizers have developed performance management, replication and closure practices to fit their local context. A small number of communities have developed a more strategic approach integrating thoughtful approaches to performance measurement, replication and closure into a single system for managing quality. In more cases, however, an authorizer may have strong practices in one or two of these elements, but not all three. And in many cases, authorizers do not have thoughtful policies and practices (much less *integrated* policies and practices) in any of these areas.

In 2009, NACSA conducted the most comprehensive national survey of authorizer practices to date (Appendix I). The findings confirm that most authorizers have only some policies and practices in place. For example,

- Among the largest authorizers in the country, those with 10 or more charter schools, who should be more likely to solicit new charter school proposals than smaller authorizers, only 35% reported issuing annual requests for proposals for new charter schools;
- Approximately one in ten large authorizers (10%) reported that they do not have written contracts with their schools that specify performance standards that are used for the basis of renewal;
- Among all of the nation's 800+ authorizers, approximately one in six (16%) reported that they do not consider a school's AYP status when making renewal decisions;
- A small but troubling 6% of all authorizers reported that they never monitor their schools' financial practices, and
- Approximately one in five of all authorizers (19%) did not have defined criteria and processes for intervening in a low-performing school.

As part of its national survey of authorizer practices, NACSA has scored the practices of 54 of the largest 70 authorizers in the country. (Large authorizers have a significant impact on the charter school movement. The largest 100 authorizers oversee 61% of all charter schools in the nation and 66% of all charter school students; the largest 25 authorizers oversee 40% of all charter schools in the nation and 44% of all charter school students.) Authorizers were scored for the presence of key factors in reviewing applications, contracting, oversight and renewal practices that aligned with NACSA's nationally-recognized *Principles and Standards for Quality Charter School Authorizing* (Appendix II). Fifty total points were available through NACSA's

scoring system. The average number of points received was a disappointing 33.5 (67% of total available points), ranging from a high of 46 to a low of 12. This research provides empirical evidence that opportunities for improvement are considerable.

The gaps in these authorizers' practices cover hundreds of authorizers that work with thousands of schools, affecting hundreds of thousands of students. Those are the students that are in charter schools. If one counts the students who do not have access to a quality charter school, and might have access to a better education if an authorizer adopted better practices, the impact is in the millions.

In addition to quantitative data collected through NACSA's annual survey, NACSA has years of extensive qualitative experience that reinforces and further illuminates the gaps in authorizers practices. NACSA has direct experience working with clients in a variety of contexts. These partnerships represent all types and sizes of authorizers, including major authorizers such as: the Louisiana Recovery School District, Denver Public Schools, New Mexico Public Education Department, Ohio Department of Education, Florida Department of Education, New York City Department of Education, University of Missouri at Kansas City, Milwaukee Common Council, Georgia Charter Schools Commission, and the Minnesota Department of Education.

NACSA's extensive first-hand experiences around the nation have revealed the following:

- While most authorizers have some form of performance accountability policies and practices in place, those policies and practices leave considerable room for improvement. They need to establish multiple measures of performance that look at a school's status, growth and comparison to similar schools and they **need to clearly and objectively**

define and communicate the performance expectations for renewal. For example, NACSA recently hosted a focus group with two dozen charter school leaders in a major city and none of the school leader participants knew what level of performance would be needed to earn renewal.

- Regardless of how well performance expectations are defined, many authorizers still **need to establish clear processes for collecting, evaluating and acting on performance data**. Schools, students and families do not know in advance what the timelines and processes are for making decisions, and neither do the staff or decision-making board of the authorizing agency. These undefined processes create a hardship for quality schools and are a significant barrier for efforts to close weak schools, which can sometimes stay open simply because the authorizer has not established a fair process. For example, at the beginning of a recent school year, NACSA was contacted for assistance by an authorizer that needed to make renewal decisions on more than a dozen schools up for renewal – but the authorizer did not have processes, documents, guidelines or timelines in place to make those renewal decisions.
- Most authorizers **need to establish proactive policies and practices to encourage the creation of new schools through replication of existing, high-quality schools**. These policies and practices could include pre-qualification of high-quality Charter Management Organizations (CMO) that would enable better long-term planning by the CMO, financial assistance for start-up costs, and the provisions of facilities. NACSA has advised authorizers in New Orleans, Chicago and Denver on strategies for supporting quality school creation through replication.

While NACSA has evaluated the practices of authorizers through national data surveys and first-hand experience, the need for improvement can also be seen in the weaknesses of state laws across country. The National Alliance for Public Charter Schools has rated the strength of state charter school laws on a variety of factors, including provisions to support performance measures, replication and closure decisions. For charter application processes, which includes provisions to support the replication of high quality charter schools, no state law received a top rating of 4 points from the Alliance and only two states received the second highest rating of 3 points. All other state laws received scores of 0, 1 or 2 points. For statutory provisions related to the presence of clear performance measures, no states received a top rating and only three states received the second highest rating. For statutory provisions related to clear renewal processes, one state received a top rating of 4 points while eight received a rating of 3 points. The opportunities to improve state policies on performance management, closure and replication are considerable.

NACSA's quantitative data on authorizer practices, the Alliance's ratings of statutory provisions, and NACSA's own experiences working directly with dozens of authorizers together reveal repeated gaps and weaknesses in the policies and practices of states and authorizers that support performance measurement, closure and replication. These weaknesses affect the quality of educational opportunities available to millions of children. In the face of these weaknesses and their impact, the demand and urgent need for stronger performance management, closure and replication strategies is as high as ever.

(ii) Significance

(1) National significance

The *Creating Quality Charter Schools through Performance Management, Replication and Closure Project* directly addresses a problem of fundamental significance to the nation: the multi-generational failure of public education in America's most disadvantaged communities. Whether in the highly-visible neighborhoods of America's largest cities or nearly invisible rural Appalachia, Mississippi Delta or on Native American reservations, millions of students are failing to graduate from high school prepared to succeed in higher education or in a meaningful career.

Paradoxically, too many existing excellent charter schools are *unable to open* new schools to better serve more children while too many failing charter schools *remain open* year after year.

America's charter schools tackle this challenge directly, providing better educational opportunities to hundreds of thousands of disadvantaged children. But success and excellence within the charter sector has not yet met expectations or the need. Quality has been uneven. Growth has been too slow to meet the overwhelming need. While a few urban centers have a dynamic charter school sector, many other cities have virtually no charter activity and rural areas are almost completely un-served. Paradoxically, too many existing excellent charter schools are *unable to open* new schools to better serve more children while too many failing charter schools *remain open* year after year**.** At the heart of this paradox are inadequate systems for defining, measuring and acting upon school quality, for closing failing schools and for replicating existing good schools.

The goal of PMRC is to increase the number of states and authorizers with charter school replication and closure policies and practices that are aligned to and driven by a comprehensive and integrated research-based school performance management model.

"Performance management" refers to an authorizer having a set of policies and practices to monitor the performance of the charter schools that it oversees and to act in response to that data. Performance management includes: establishing clear objective performance measures for schools; annually collecting, analyzing and reporting the performance of each school; and taking appropriate action to approve, close or replicate schools in response to performance.

Through this project, state education agencies, school districts, universities and other authorizers that serve both urban and rural populations will be leveraged and work together to establish integrated performance management, replication and closure policies and practices that drive improvement and continuously produce better educational opportunities for their students, and which can then be used as is, or modified as necessary, for diverse charter sectors all across the country.

In Phase I, the project will initially review the performance management, replication and closure practices of ten leading authorizers (Appendix III), to identify promising, integrated practices. These leading authorizers serve urban, suburban and rural communities and represent a mix of authorizer types – state education agencies, school districts, independent authorizers, universities and others. Six of those authorizers will then be selected as model sites for in-depth examination. The findings from their initial research will be the basis of a set of preliminary model policies and authorizer practices developed under the guidance of a premier National Advisory Panel of education leaders (Appendix IV). In Phase II, the preliminary model laws will be promoted, while state policies and authorizer practices will be implemented in four demonstration sites to test their utility. Implementation efforts will be carefully observed by a third-party monitor and lessons from the implementation will be used to refine and finalize the models. In Phase III, the final models will be actively disseminated through a variety of print,

media, web-based and in-person strategies by NACSA, the Aspen Institute and the Council of Chief State School Officers.

Because NACSA, the Aspen Institute and the Council of Chief State School Officers each bring strong national recognition, respect and reach, the project will have a national impact. Also, because the three organizations will work with public officials and leaders with broader public education responsibilities, the lessons of the project will extend beyond the charter school sector to provide benefits for all of public education.

(2) Building local capacity

PMRC is designed specifically to strengthen local capacity, not just in a few places, but by providing resources that will be disseminated and used throughout the nation. Legislatures and advocacy partners in states will receive model law provisions that support performance management, replication and closure. State education agencies will receive model board policies to support the same. Authorizers will receive model policies, sample documents, guidelines, and tools to implement practices that meet NACSA's standards for performance management, closure and replication. Because the project's models will be developed under the guidance of premier organizations (the Aspen Institute and Council of Chief State School Officers) and with the input of individuals from leading replicating CMOs (e.g. Mike Feinberg of KIPP, Steve Barr of Green Dot and Kevin Hall of the Charter School Growth Fund) the models will be extremely relevant and useful to leaders across the country that are building their capacity to implement high quality strategies for performance management, closure and replication.

Further, the project's partners and consultants have the experience to know that only providing model documents to organizations will not truly build local capacity. Capacity is built when model resources are accompanied by high quality training and support. For that reason,

PMRC will also focus on human capital development strategies that truly build capacity to implement the model resources. No other organization in the world is as well known as the Aspen Institute for its ability to convene leaders, provide excellent content, facilitate meaningful dialogues and establish enduring networks. The Council of Chief State School Officers provides the same development, networking and capacity-building opportunities for the nation's extremely influential leaders of state education agencies. NACSA has set the professional standards for, and led the development of, authorizers for a decade.

All of the targeted beneficiaries of these resources and services – state chiefs, authorizers, local school system leaders and policy leaders – have the power and motivation to put these new resources and supports directly to work in their communities to improve the educational opportunities available to children.

(3) Likely utility

The materials developed by PMRC will have a high degree of utility within the charter sector and beyond. As a result, governors, legislatures, state education agencies, school districts will have tools they need to apply the charter sector concepts of performance measurement, accountability, closure and replication to the traditional public education sector. In effect, these tools will create opportunities to establish more quality charter schools. Once those charter schools are established, they will operate under clear performance measures, renewal criteria and processes. If they are successful, they will have the opportunity to replicate to serve more children.

Thus, the project will ***improve*** the charter sector itself by establishing professional policies and practices within the sector, ***expand*** the charter sector by creating greater opportunities for replication, and ***transform*** the entire public education sector by creating a

dynamic system that is constantly evaluating the quality of schools available to children, closing those that are weakest and creating new schools that are based on successful models.

Pieces of this work are happening in a number of places across the country and this entire transformation is starting to take shape in a small number places. Under the leadership of nationally recognized and acclaimed lead partners, the project will capture the lessons to be learned in these places, identify best practices, develop models and put them to work, first in demonstration sites and then throughout the nation.

(iii) Quality of the Project Design

The *Creating Quality Charter Schools through Performance Management, Replication and Closure Project* will contribute to the expansion of high quality charter schools across the country by strengthening authorizer capacity in the areas of their work that are in greatest need of development: performance management of charter schools, replication of successful models, and closing low performing schools.

The work of PMRC is based on a theory of action that recognizes that student performance is a function of several things, beginning with specific charter schools that serve students from different backgrounds and who face different challenges with varying levels of preparation and including networks of school support, authorizers' practices and legal and policy environments.

Within this model (Appendix V), authorizers exist within a context that includes the state's charter school law as well as other elements that shape education reform more broadly. The authorizer environment is a function of who the specific authorizers are and how they view the role that charter schools can play in public education and reform.

The theory of action recognizes that charter school environment includes many other support structures and various actors that help or try to undermine charter school operations. The charter schools conduct the core work of the charter sector within their schools. These operations produce student performance and other outcome measures, like governance and financial viability. The student performance and these other outcome measures, in turn, influence the political dynamics and the reputation of the charter movement. The charter sector's outcomes and public and political representatives collectively influence the policies around education reform in general and chartering in particular. These policies and the broader context for authorizing in the state affect who the authorizers are, the resources they bring to bear, and how they understand their role in education reform. The cyclical nature of this system often means that action is taking place in all areas simultaneously.

This broad view of the role authorizing plays in education reform, and the complementary research performed by NACSA and other partners and consultants will help PMRC to develop and refine model polices and materials that are based on rigorous research, evaluation and empirical data.

The PMRC Project extends NACSA's work in researching the effective practices of authorizers who have demonstrated early success in the three focus areas, developing model policies, practices and materials that will support authorizers in the early stages of this work and reflecting in action throughout all phases of the project, gathering new information throughout the process to inform and refine the models, as needed.

NACSA's overarching goal in all of its work is to develop high quality authorizing environments that result in a greater number of charter schools that meet and exceed state standards. **The goal of the PMRC Project is to develop comprehensive and integrated**

research-based school performance models to drive charter school replication and closure practices and by the end of Year 3, 15% of the charter schools in the country will be overseen by authorizers using PMRC. After the project, by the end of Year 4, PMRC will have been adopted by 20% of authorizers and 30% by the end of Year 5.

As a result of the improved effectiveness and accountability practices of states and authorizers, key actors for quality in the charter sector, the number of quality charters schools will increase, leading to greater opportunities for improved student achievement.

The PMRC Project proposes to achieve this goal through the following **objectives** (see Appendix VI, PMRC Logic Model):

1. Document the effective policies and practices of model authorizers in performance management, replication and closure.
2. Develop a comprehensive research-based set of integrated policies and practices with the support of a National Advisory Panel and other key stakeholders.
3. Pilot the model at four demonstration sites, document implementation achievements and challenges, and refine model as needed.
4. Disseminate promising practices to audiences with direct authority to influence change in charter school authorizing.

Objectives and Corresponding Activities

Objective #1: Document the effective policies and practices of model authorizers in performance management, replication and closure.

Using NACSA's *Principles and Standards for Quality Charter School Authorizing* as a guide, PMRC will identify authorizers who exemplify model practice in one or more of the three core areas. Ten respected authorizers that already engage in some or all elements of professional

performance management, replication and closure practices will participate in the project. The practices of these authorizers will be researched, analyzed and summarized into a report to inform the development of the model policies and practices.

To achieve this objective, the following actions will be taken:

- Finalize selection of model sites
- Conduct research on model site policies
- Conduct authorizer evaluation of model site practices and portfolio quality
- Evaluate state statutory and policy provisions
- Summarize into a comprehensive report

Objective #2: Develop a comprehensive research-based set of integrated policies and practices with the support of a National Advisory Panel and other key stakeholders.

NACSA will convene a National Advisory Panel including representatives from each model site, as well as other key stakeholders with influence over the practices of authorizers, to review the comprehensive report of effective practices and develop model practices to be piloted in four demonstration sites across the nation.

To achieve this objective, the following actions will be taken:

- Convene National Advisory Panel for review of report on initial research, model policies and practices
- Develop comprehensive model authorizer policies to pilot at demonstration sites
- Develop model state statutes and policies to support quality performance management, replication and closure
- Develop model authorizer practices to pilot at demonstration sites

Objective #3: Pilot the model at four demonstration sites, document implementation achievements and challenges, and refine model as needed.

NACSA will conduct an evaluation of the four demonstration sites to understand their areas strengths and greatest need, pilot the model policies and practices based on individual site-based implementation plans, provide site-based implementation support, study the implementation and make refinements to the model, as needed.

To achieve this objective, the following actions will be taken:

- Identify demonstration sites
- Conduct authorizer evaluation of each demonstration site
- Conduct a gap analysis of authorizer policies for each site
- Train a core group of consultants to support site-based implementation
- Develop an implementation plan proposals for each site and award subgrants for execution
- Implement models at demo sites
- Convene the National Advisory Panel to review implementation and refine models
- Refine and finalize model practices and prepare for dissemination
- Refine and finalize model policies and prepare for dissemination

Objective #4: Disseminate promising practices to audiences with direct authority to influence change in charter school authorizing.

The PMRC project has been designed specifically to develop materials, not just in a few places, but for replication and use throughout the country. NACSA will disseminate the research and models nationally via strategic partnerships with the Aspen Institute, Council of Chief State

School Officials ("CCSSO"). As organizations with members throughout the nation, CCSSO and NACSA in particular have the experience to develop dissemination materials suitable for replication and use nationally. The partners will support the PMRC Project by leveraging their own extensive networks to reach key stakeholders via print, media, web and in-person meetings.

To achieve this objective, the following actions will be taken:

- Develop plan for coordination of dissemination of models and findings through multiple channels to multiple audiences, including web-based print materials, interactive webinars, social media tools, in-person meetings focused on this topic, presentations at national conferences, and briefings with state and federal policymakers
- Publish final models and research
- Disseminate models to key audiences

Final decisions on precise dissemination strategies and activities will be made *during* the project, informed by the findings from the first phases and in consultation with all partners and the National Advisory Panel. As a result of the *Creating Quality Charter Schools through Performance Management, Replication and Closure Project*, the following will be available to all states and authorizers to improve their accountability practices beyond the period of this grant:

- Model statutes to support effective charter school performance, closure and replication;
- Model policies for state education agencies to support effective charter school performance, closure and replication; and

- Model policies, documents and tools for authorizers to support effective charter school performance, closure and replication

In addition to bringing immediate expertise to the project, each partner provides a set of enduring relationships and practices that will continue to disseminate the materials from PMRC to a wide audience of influential decision-makers for years to come.

(iv) Quality of Project Services

Background on NACSA as a Research-Based Organization

NACSA staff uses direct work with authorizers, an ongoing and multi-faceted research agenda, and a comprehensive understanding of the role of charter schools in public education to inform and improve the organization's work. PMRC is closely aligned to the ongoing work of NACSA and will contribute to and extensively leverage the organization's sustainable effort to achieve higher student performance through quality authorizing. This involves ongoing research and technical assistance activities that increase the *Creating Quality Charter Schools through Performance Management, Replication and Closure Project*'s likelihood of success, its sustainability, and the potential depth of its impact.

Much of the work in this project involves the collection of data, the evaluation of practices and their quality of implementation. NACSA staff and various project partners and consultants will be involved in work that evaluates authorizing activities. This project also involves a sophisticated evaluation of the project itself. These evaluation activities are all designed to align with NACSA's ongoing and long-term goals, as well as the goal of this project.

Supporting Research Program

The PMRC Project reflects up-to-date knowledge from research and effective practice because it is informed by NACSA's highly-regarded *Principles and Standards of Quality*

Charter School Authorizing and NACSA's on-going collection and analysis of data. Indeed, rather than starting from scratch, PMRC will be leveraging years of investment in the development of standards and the collection and analysis of data. The *Principles and Standards* were developed in multiple iterations over several years, with input from quality authorizers and education reform experts from across the nation. The resulting standards were vetted extensively with quality authorizers before being endorsed through votes by NACSA members. They reflect a high-level of guidance on what is involved in quality authorizing and have been written into state laws by name (e.g. Louisiana and Wisconsin) or by reference (e.g. Missouri and Minnesota)

In partnership with the Center for Research on Educational Outcomes (CREDO) and the National Alliance for Public Charter Schools, NACSA maintains a dataset that links more than 95% of the nation's charter schools with their authorizer, using state and federal identification codes for schools, districts, and authorizers. This dataset allows for schools to be linked to demographic data from the U.S. Census, to policy data on state, district, and school structures, as well as to federal- and state-level data on student and school performance. It is also used to contact authorizers for other research purposes. This dataset will allow NACSA to identify authorizers that operate in settings where many public schools (whether they are overseen by the authorizer or local school districts operating within their jurisdiction) have been identified as struggling, authorizers that directly oversee schools that are performing poorly and should perhaps be closed, as well as schools that can be identified as high-performing in state accountability systems. This data can be used to identify authorizers that are or should be involved in closure procedures; and those that could be fruitful places to study replication.

NACSA has evaluated the extent to which authorizers implement the *Principles and Standards* through two distinct research projects that also inform and support this project.

NACSA conducts an annual survey of charter school authorizers. The most recent report, *The State of Charter School Authorizing: 2009,* examines the practices of authorizers to determine which practices are being implemented by various types of authorizers. The survey uses a purposefully constructed sample to maximize our understanding of actions by different authorizer types and sizes. Based on NACSA's standing in the authorizer community, it generates an extremely high response rate -- 80% among large authorizers. This survey is provides a quantitative analysis of implementation that can be used to create a baseline for future research that will eventually enable time-series analysis of implementation details. NACSA has used this survey to construct an index of authorizer quality that documents the extent to which each surveyed authorizer is implementing a comprehensive set of practices that align with the *Principles and Standards*.

NACSA also supports in-depth Authorizer Evaluations (Appendix VII) that explore the degree to which both articulated policies, and implemented practices, align with the *Principles and Standards.* The resulting reports from these evaluations provide authorizers with formative feedback that they can use to strategically improve their practices. The qualitative data that informs the survey analysis allows NACSA to see what issues and circumstances complicate or enable the implementation of best practices on the ground. Because NACSA also works under contract directly with authorizers to administer charting activities and works long-term in-depth partnerships with authorizers, it has direct experience trying to develop materials and implement practices. This not only allows for a deep understanding of the challenges of implementation, but creates opportunities to develop model materials and tools that are needed and used immediately. Collectively, the standards, the survey data, and the experience gained in evaluations and contract work allows for an iterative process and learning by NACSA, its staff and partners.

In addition to this theoretically-driven and research-based work, NACSA, works extensively with outside partners to develop data and to analyze aspects of the charter movement. NACSA commissions studies by external partners and consultants who research specific issues to produce Policy Guides and Issue Briefs. These studies examine topics like the provision of special education services; or the oversight of schools with contracts with Education Management Organizations (EMO) and Charter Management Organizations (CMO).

NACSA also works in close collaboration with the National Alliance of Public Charter Schools (NAPCS) and other policy-based groups in the development of a model charter school law and accompanying analysis of charter school laws. This provides data on the policy environment, baseline data for later analysis, and a rubric for documenting policy changes. This model law and the analysis weights authorizer-related activities heavily, based on input and collaboration between NACSA and the NAPCS. This collaboration on model state policies will continue as the project examines their impact on charter school quality.

The activities of authorizers are strongly correlated with the performance of students in schools.

Finally, **NACSA works to examine the links between the most important variable - student performance -- and authorizer policies, practices, and implementation.** NACSA has been working with The Center for Research on Educational Outcomes (CREDO) at Stanford University to develop an analysis of the student performance by the schools overseen by individual authorizers. This data can be reported for each school, for the portfolio of schools overseen by a particular authorizer, and by all authorizers within a particular state. By linking the dataset on school performance with other data on the schools and districts and measures of implementation of best practices, NACSA has conducted preliminary analysis of the correlations between authorizer practice and student performance using the state as the

unit of analysis. Given the complexity of factors that are likely to influence student performance, any statements about the direct impact of quality authorizers on student performance require reservations. With this complexity in mind, analysis of the data shows that the activities of authorizers are strongly correlated with the performance of students in schools. States with higher quality authorizer practices as captured by NACSA's data collection and analysis have generally higher levels of student performance as measured by CREDO. States with lower quality authorizer practices have generally lower levels of student performance. **Thus, by improving the practices of authorizers in key areas, the PMRC Project is highly likely to improve the achievement of students as measured against rigorous academic standards.**

These various data sources and work within NACSA and conducted by partners provides a strong research base to support the work of PMRC. While NACSA's privately-funded research activities will continue outside the scope of this project, they will inform the project-specific evaluation as explained later in this proposal.

NACSA has identified and enlisted partners and contractors ("consultants") that, like NACSA, are all involved in research, evaluation, and analytical work that is intended to produce a learning community focused on what works to increase performance in schools through quality authorizing. Individually these partners and consultants play a significant role in education reform efforts focused on improving student outcomes, by serving as national policy experts, researchers, practitioners and conveners of the most critical stakeholders. Collectively, these partners and consultants have agreed to support PMRC by leveraging their expertise and networks to ensure all project activities are aligned, integrated and implemented with fidelity to

achieve the intended goal. The following partners and consultants will participate in the PMRC Project:

- *Aspen Institute Commission on No Child Left Behind* – an internationally acclaimed institute that convenes leaders via forums, fellowships, seminars and public conferences to engage in nonpartisan forums for analysis, consensus building and problem solving. The Institute will serve as a convener during the development of the development of the model and as a lead dissemination partner in this project.
- *Council of Chief State School Officers (CCSSO)* – a national organization of public officials that lead elementary and secondary education in all states and District of Columbia. CCSSO will also serve as a lead dissemination partner by making the research and model framework available to its members via meetings, its website, and projects.
- *Bellwether Education Partners* - a national non-profit organization dedicated to building a robust community of innovative, effective and sustainable change agents who are committed to dramatically accelerating the achievement of low-income students will work throughout the process to conduct research, provide a contextual analysis of the findings, and recommend effective practices for implementation. Bellwether will also conduct a project-long study documenting the process to support reflecting in action.
- *Tugboat Education Services* – a nationally based organization that advises education reform organizations on a wide range of regulatory and strategic matters will provide consultant services by evaluating the current practices of model authorizers and providing recommendations related to regulations, policy and compliance considerations.

The collective work of this group, led by NACSA will be organized in three phases over a period of three years. All activities will inform the actions that follow.

As stated in the *Project Design* section, the following objectives will be executed to meet the stated goal:

Phase I- Year 1

- Objective #1: Document the effective policies and practices of model authorizers in performance management, replication and closure.
- Objective #2: Develop a comprehensive research-based set of integrated policies and practices with the support of a National Advisory Panel and other key stakeholders.

Phase II – Year 2

- Objective #3: Pilot the model at four demonstration sites, document implementation achievements and challenges, and refine model as needed.

Phase III – Year 3

- Objective #4: Disseminate promising practices to audiences with direct authority to influence change in charter school authorizing.

Phase I – Year 1

Objective #1: Document the effective policies and practices of model authorizers in performance management, replication and closure.

NACSA conducts ongoing research of authorizer effectiveness and catalogues these exemplary practices to serve as resources for dissemination and training. Authorizer effectiveness in core areas is determined by the following criteria:

- *Performance Management*- Has a systematic approach for monitoring the performance of schools overtime; has a process for collecting, analyzing and using

data to inform decisions; created structure (office/department/team) to manage and support PM practices

- *Replication*- Uses performance data to inform decision-making; creates an environment that supports the replication of existing high quality/performing schools via a tailored application process, developed accountability measures, established incentives, support of school leader and teacher pipelines and allowance of a single board to govern multiple schools
- *Closure*- Uses performance management data to inform decisions about school closure; has a clearly defined and transparent accountability system; has a systematic process for closing schools

NACSA has identified ten authorizers who exemplify model practice in one or more of these areas, and authorizers who can be classified as emerging in one or more of the areas as a result of their efforts. For each of ten Preliminary Sites, an initial analysis will record the presence and strength of written performance management, replication and closure policies and practices as well as the number of schools affected by these policies and practices. PMRC will select the six model Sites - authorizers with the strongest and most complete set of policies and practices to evaluate further. PMRC will also look to evaluate a variety of types of authorizing institutions as well as communities served.

The analysis of each model site will include four components: (a) an evaluation of the authorizer's policies and practices benchmarked against NACSA's *Principles and Standards for Quality Charter School Authorizing*; (b) an analysis of the overall quality of schools in the authorizer's portfolio; (c) an analysis of the policy context that led to the authorizer's practices; and (d) an evaluation of the elements of state law that either support or detract from performance

management, replication and closure. The analysis will inform the models developed and piloted at the demonstration sites.

The following authorizers have been identified as potential model sites for this project: **New Mexico** Public Education Department, **Louisiana** Department of Education, **New York City** Department of Education, **Chicago** Public Schools, **Denver** Public Schools, **Central Michigan** University, **Washington DC** Public Charter School Board**,** Mayor's Office of **Indianapolis, State University of New York** and Volunteers of America of **Minnesota.** These authorizers represent the diversity of authorizers: type of institution, size of portfolio and geographic location (urban/rural).

In the first year of the project, Bellwether, Tugboat and NACSA will engage in in-depth research of the model sites. Bellwether will seek to understand how each authorizer arrived at existing practices, the challenges faced in implementing these practices, ongoing implementation challenges, and the evidence of the organization's commitment to these practices. NACSA will identify the areas in which practices could be further improved. Tugboat will conduct an extensive analysis of the statutory, regulatory and policy factors that informed, allowed or supported the current practices.

Once all data is collected, NACSA will summarize the research and findings from the Bellwether, Tugboat and the evaluation reports into a comprehensive report that will inform the development of the model policies and practices to be implemented at the demonstration sites.

Objective #2: Develop a comprehensive research-based set of integrated policies and practices with the support of a National Advisory Panel and other key stakeholders.

During the last quarter of Year 1, the Aspen Institute will convene the National Advisory Panel ("Panel") of CCSSO members, authorizers, leaders of charter school organizations, policy

experts, government officials, academics, philanthropists and other practitioners in the field, including representatives from the model sites, to serve as thought partners in the development of the models. The Panel, facilitated by Aspen Institute staff, will review the comprehensive report, share perspectives, and merge their expertise to develop actionable outcomes-based model policies and practices to be piloted in four demonstration sites across the country.

The Panel will also support in the identification of geographically diverse sites to pilot the model policies and practices based on the NACSA's research and recommendations of sites with the highest potential for change. The following criteria will be used to identify demonstration sites:

- *Criteria one* – Type of authorizing institution – To maximize utility of the final deliverables, PMRC will seek to include a variety of types of authorizing institutions (e.g. school districts, universities) in the demonstration phase
- *Criteria two* – Size of portfolio – PMRC will seek to include small, medium and large authorizers
- *Criteria three* – Students served – PMRC will seek to include authorizers that serve urban, suburban and rural constituencies, as well as the proportions of low-income students and students that are at-risk of academic failure
- *Criteria four* – Commitment – PMRC will seek authorizers that possess a depth of engagement by the organization's leadership and the willingness to build the required infrastructure to support the effort (e.g. staff, budget, time, etc.)

NACSA consultants will finalize the model policies and practices based on the initial research report and recommendations from the Panel. The models will include step-by-step

processes for implementation, yet allow for innovation and flexibility based on the individual needs of the various sites.

Phase II – Year 2

Objective #3: Pilot the model at four demonstration sites, document implementation achievements and challenges, and refine model as needed.

Considering the recommendations from the Panel, PMRC will finalize the selection of the four demonstration sites. NACSA will conduct an Authorizer Evaluation of each site as a tool to understand each authorizer's areas of strengths, challenges and greatest opportunities for improvement. Concurrently, Tugboat will conduct a gap analysis on model policies for each site and provide a report revealing areas of opportunities and potential challenges. Each authorizer will receive a comprehensive summary report based on the findings from their evaluation and the gap analysis.

To maximize the effectiveness of improvement activities in the demonstration sites, PMRC will leverage NACSA's existing experience and expertise designing and funding work plans for authorizers through its *Fund for Authorizing Excellence*. The Fund, NACSA's grant-making arm, provides essential financial support to strategic and proactive authorizers focused on supporting the expansion or improvement of educational opportunities for children. Each demonstration site will be asked to develop and submit work plans aligned with the guidelines the Fund (Appendix VIII). These work plans should clearly delineate how each site will utilize the PMRC models to address weaknesses in policy and practice identified in their Authorizer Evaluation report.

The PMRC Project Team will review the proposals and determine implementation grants for each demonstration site. These grants will allow each demonstration site to receive targeted

assistance from industry and content-based consultants to support implementation. The consultants, who will be trained on the PMRC models and supported by NACSA and its project partners and consultants, will serve as project managers and coaches working in partnership with authorizers to customize the models to meet to the specific needs of their work.

Consultants will work directly with key members of the authorizer's leadership team, manage fidelity of implementation, refine strategies as needed and build the capacity of local staff to promote the sustainability of efforts.

PMRC is designed, not just to improve practices at four demonstration sites, but to learn from the challenges at those sites in order to provide lessons for implementation during the project's dissemination phase and thereafter. Bellwether will document the implementation of the PMRC models through the study of implementation by visiting demonstration sites, interviewing participating authorizer and PMRC consultants, and the reviewing key documents. They will gather information on the following: a) the extent to which demonstration sites are implementing model policies and practices; b) the challenges and obstacles to implementing these models; c) the extent to which PMRC consultants have been helpful to demonstration authorizers in implementing the models; and d) areas for improvement. The findings will be summarized into a report to be shared with the Panel.

Near the end of Year 2, the Panel will reconvene at the Aspen Institute to review the summary report and refine the model policies and practices in preparation of developing dissemination materials and launching dissemination efforts. The final models will result in comprehensive, integrated and research-based policies and practices to inform and improve the work of authorizers, authorizing boards, and state department of education in charter school authorizing.

Phase III – Year 3

Objective #4: Disseminate promising practices to audiences with direct authority to influence change in charter school authorizing.

Year 3 of the PMRC Project will focus on the strategic dissemination of the research and models. NACSA, the Aspen Institute Commission on No Child Left Behind and the Council of Chief State School Officers will develop and launch a dissemination strategy to reach key audiences that have a direct influence on authorizing practices. NACSA will also leverage its own network, as the only national membership organization of authorizers, to get the research and PMRC models directly in the hands of those that own the implementation of this work.

The Aspen Institute will lead in the development of and host two meetings to introduce key stakeholders to the models and facilitate the discourse on applicability, transferability and usability of the various components of the framework. They will invite members of their national network, authorizers, elected officials and school leaders to participate and form a cross-sector community of stakeholders that will promote through voice and action the importance of improving authorizer practices. The reputation of the Aspen Institute will attract scholars and practitioners that serve as leaders in their field.

The Council of Chief State School Officers, as the organization for individuals that head elementary and secondary education in states across the country, has a direct line of communication to each state's education leadership. CCSSO will disseminate the framework via its various communication outlets (e.g. website, quarterly newsletters, etc.), as well as via participation in conferences and topic-focused projects.

NACSA will leverage its network of authorizers and disseminate the research and framework via its website, publications and annual conference. NACSA will also provide a free

copy of the models online, so that the various stakeholders involved in the quality charters movement, parents, students, community groups and others can access this information and distribute it widely.

Finally, NACSA will engage the media via articles, op-ed pieces and summary reports through its partnership with Bellwether, who has direct ties to national print, television and online media outlets.

(v) Quality of Project Personnel

The highly-experienced staff of NACSA and its project partners and consultants (see individual resumes in Appendix IX) are uniquely qualified to carry out the proposed project and fulfill our project goals. Following is brief background on each staff member and project consultant who will be significantly involved in executing this project. The assembled team represent the best in their field; experienced professionals diverse in personal and professional background, who are unified by a shared passion for and commitment to creating quality educational opportunities for students greatly in need of them, and by our strong advocacy of charter schools as our nation's most promising strategy to achieve such change at scale. The collective experience and dedication of our team are well-matched for the challenges of this project and demonstrate the capacity to ensure its success.

National Association of Charter School Authorizers – Lead Applicant

The National Association of Charter School Authorizers (NACSA) is a professional membership organization founded in 2000, dedicated to building the quality and success of charter schools by helping charter school authorizing agencies across the country execute their responsibilities well. NACSA's mission is to achieve the establishment and operation of quality charter schools through responsible oversight in the public interest. NACSA believes that

charter schools can improve public education by creating greater educational opportunities for students and educators and greater educational accountability for public schools. Charter school advocates and knowledgeable observers consistently look to NACSA as the essential resource for defining and strengthening charter school authorizing.

NACSA works with – and works to improve – all the types of chartering agencies that exist nationwide: local and county school boards and districts, state boards and departments of education, universities and colleges, municipal agencies, independent or special-purpose chartering bodies, and private nonprofit organizations. Most of these types of institutions are represented on NACSA's Board of Directors and national membership. NACSA member authorizers together oversee about 60% of the charter schools in the country.

NACSA has broad and deep experience working across the country. Under a previous national activities grant, NACSA developed and published ***Principles and Standards for Quality Charter School Authorizing*****,** which since their release in 2004 they have become the industry touchstone for authorizing practice. In fact, *Principles & Standards* have been explicitly referenced in state charter school laws as *the* national standard for quality chartering in states ranging from Colorado to Louisiana.

NACSA has a strong history of providing highly regarded resources and direct service to authorizers working in diverse contexts nationwide. The organization's substantial reach as well as the depth and breadth of its knowledge and experience with charter school authorizing issues enable it to be effective in identifying needs and addressing challenges nationwide.

Key NACSA Personnel

Greg Richmond is the President and CEO of the National Association of Charter School Authorizers (NACSA). From 1994 to 2005, Richmond worked for the Chicago Public Schools,

where he established the district's Charter Schools Office. Under his leadership, Chicago was the first urban school district in the nation to release an RFP, requesting educators and community organizations to start charter schools. He also established the nation's first district-funded capital loan fund for charter schools and developed model accountability and monitoring practices. From 2003 to 2005, he launched Chicago's Renaissance 2010 initiative as the district's Chief Officer for New Schools Development, under Arne Duncan, then the CEO of the Chicago Public Schools.

Richmond serves on many boards and committees, including the Aspen Institute's Commission on No Child Left Behind, Tulane University's Cowen Institute for Public Education Initiatives, the National Board for Professional Teaching Standards Advanced Certification for Educational Leaders Steering Committee.

William Haft is NACSA's Vice President of Authorizer Development and is responsible for the development and delivery of the organizations consulting services. A former classroom teacher and education attorney, Haft has been integral to the development of NACSA's model resources and led the development of its framework for Authorizer Evaluation. He recently completed service on the board of Democracy Prep Charter School in New York City.

Alex Medler is NACSA's Vice President for Policy and Research and is responsible for the development of the organization's knowledge resources. Prior to joining NACSA as a staff member in 2009, he served two years on its Board of Directors. Medler is currently completing his term as the Chairman of the Board of the Colorado Charter School Institute, a statewide authorizer of over a dozen charter schools. A founding board member, Medler has served as the organization's chair since 2006. Prior to joining NACSA, Medler served as Policy Director of the Colorado Children's Campaign. He served for four years in the U. S. Department of

Education's Charter School Office.

David Hansen is NACSA's Vice President for External Affairs and is responsible for the overall direction and coordination of the organization's communications, government relations and membership program. Hansen previously served as the President of the Buckeye Institute of Ohio, a state-based think tank. Earlier in his career, Hansen served as Policy Director and subsequently Chief of Staff of the Michigan Senate, where he oversaw important educational reforms including the development of the state's charter school laws and other school choice legislation. Hansen currently serves on the board of the Academic of Columbus and Great Western Academy, two Columbus, Ohio charter schools.

Aspen Institute – Project Partner

Since its founding sixty years ago, the Institute has moderated policy dialogues in a small group setting where participants from various backgrounds and perspectives learn from each other through an interactive discussion of specific readings. The mission of the Aspen Institute is twofold: to foster values-based leadership, encouraging individuals to reflect on the ideals and ideas that define a good society, and to provide a neutral and balanced venue for discussing and acting on critical issues. Through seminars, fellowships, public conferences and events, the Institute has sought to create nonpartisan forums for analysis, consensus building and problem solving. Grounded in this approach to public discourse on key policy issues, the Institute created the Commission on No Child Left Behind to engage educational stakeholders and policy makers in a dialogue leading up to the reauthorization of the Elementary and Secondary School Act.

The Commission is a bipartisan effort to identify and build support for improvements in federal education policy to spur academic achievement and close persistent achievement gaps. Following a comprehensive review process with extensive public input, the Commission in 2007

released a blueprint for strengthening the landmark No Child Left Behind Act (NCLB) by preserving the law's core principles and making needed changes to accelerate progress toward achieving its goals, particularly in the areas of teacher and principal effectiveness, robust accountability and data, higher academic standards, stronger high schools, and increased options for students. The Commission continues to advocate bold reform during the NCLB reauthorization process and consideration of related measures in pursuit of an excellent education for all children. The Commission is co-chaired by former Georgia Governor Roy Barnes and former Secretary of Health and Human Services Tommy Thompson.

Key Aspen Personnel

Gary Huggins is Executive Director of the Commission on No Child Left Behind. Gary has more than fifteen years of experience in leading education and environmental policy organizations. Prior to joining the Commission, he served as Executive Director of the Education Leaders Council and the Education Leaders Action Council, organizations that represented Governors, state education chiefs, state education boards and others officials focused on improving K-12 education systems. Prior to these positions, Gary served as Executive Director of CSCV, a coalition of corporations, small businesses, consumer and environmental groups that promoted market-based environmental solutions. Gary also served on the 1988 Presidential Campaign and Inaugural Committee for George H.W. Bush.

Kelly Scott is the Director of Policy and Research for the Aspen Institute's Commission on No Child Left Behind. Prior to joining the Commission, she served at the U.S. Department of Education as Associate Assistant Deputy Secretary in the Office of Innovation and Improvement, where she helped oversee the public school choice and supplemental educational services provisions of NCLB, and as Chief of Staff in the Department's Office of Planning, Evaluation,

and Policy Development. Previously, Kelly was Associate Director at the White House Domestic Policy Council, where she helped craft policy and budgets on education, global competitiveness, faith-based and community initiatives, and volunteerism, among other issues. Prior positions include: policy advisor to the chairman of the U.S. Senate Subcommittee on Education and Early Childhood Development; legislative assistant to a U.S. senator; research assistant at the U.S. Senate Committee on Health, Education, Labor and Pensions; and research associate at the Thomas B. Fordham Foundation, an organization devoted to K-12 education reform.

Council of Chief State School Officers – Project Partner

The Council of Chief State School Officers (CCSSO) is a nonpartisan, nationwide, nonprofit organization of public officials who head departments of elementary and secondary education in the states, the District of Columbia, the Department of Defense Education Activity, and five U.S. extra-state jurisdictions. CCSSO provides leadership, advocacy, and technical assistance on major educational issues. The Council seeks member consensus on major educational issues and expresses their views to civic and professional organizations, federal agencies, Congress, and the public.

Established in 1927, the Council serves as an informed, pragmatic voice in representing the chief state school officers' views on education policy. Through targeted policy and effective advocacy, the Council provides a platform for chiefs to be heard. The organization also undertakes projects to help state education agencies understand, devise, and execute policy; adopt initiatives to promote educational reform efforts; and engage in collaborative exchanges to share best practices and model solutions. In addition, the Council offers professional development to its members in a wide range of areas to build capacity at the state level.

Bellwether Education – Project Partner

Bellwether Education Partners is a recently formed non-profit firm dedicated to building a robust community of innovative, effective and sustainable change agents who are committed to dramatically accelerating the achievement of low-income students. Bellwether will do this through a combination of grant-funded programs, and specialized, practical, and actionable services tailored to organizations and individuals in public education. Their work focuses on four primary areas: thought leadership and knowledge generation for the field; strategic advising and consulting; leadership and organizational development, and executive search and placement.

The leadership team, led by former New Schools Venture Fund co-founder Kim Smith and Education Sector co-founder Andrew Rotherham, is composed of individuals who have established themselves as leaders in the education innovation space.

Key Bellwether Personnel

Andrew Rotherham is a co-founder and partner at Bellwether Education. Rotherham leads Bellwether's thought leadership, idea generation, and policy strategy work. Rotherham previously served at The White House as Special Assistant to the President for Domestic Policy during the Clinton administration and is a former member of the Virginia Board of Education. In addition to Bellwether, Rotherham has founded or co-founded two other successful education reform organizations including Education Sector and served on the boards of several other successful education start-ups.

Rotherham is the author or co-author of more than 125 articles, book chapters, papers, and opinion pieces about education policy and politics and is the author or editor of four books on educational policy. He is a senior fellow at the Center for Reinventing Public Education and also at the Post Partisan Foundation. He is on the board of directors for the Indianapolis Mind Trust, Curry School of Education at the University of Virginia, and Democrats for Education

Reform.

Sara Mead is currently a Senior Associate at Bellwether Education. Mead has spent the last decade engaging in extensive research, analysis and writing on education policy. At Bellwether, Mead focuses on the development of policy solutions to support the development of high-impact education organizations. From 2007 until the launch of Bellwether earlier this year, she served as the Director of the Early Education Program at the New America Foundation where she developed and promoted policy solutions to improve access and quality of education for the youngest students. Her work at the Foundation was preceded by positions as a policy analyst with the Progressive Policy Institute (2001-2005) and Education Sector (2005-2008). She is currently a member of the District of Columbia Public Charter School Board and serves on the Board of Directors of Democrats for Education Reform.

Tugboat Education Services – Project Consultant

Tugboat Education Services identifies, prevents and solves problems relating to the rules that surround and define, restrict and often empower educational organizations. It is designed to provide specialized guidance and information to educational organizations on current practices and future growth plans with the goal of enabling them to fulfill their missions while minimizing risks. Tugboat offers a range of services to both non-profit organizations and governmental agencies. These include: identifying and advising on regulatory and operating requirements; assistance to both new and experienced organizations with strategies for meeting their obligations while staying on mission; and compliance counseling.

Key Tugboat Personnel

Paul O'Neill is an education attorney, professor and author with extensive experience guiding education organizations through challenges and growth. He is currently President and

Founder of Tugboat Education Services, which advises education reform organizations on a wide range of regulatory and strategic matters and a Principal in the boutique education law practice group of Cohen Schneider LLP. O'Neill has previously served as General Counsel of the Charter Schools Institute of SUNY, one of the nation's leading charter school authorizers and as Senior Vice President, Chief Regulatory Officer, and head education attorney for Edison Learning, the national school management and services organization. He helped found charter schools in New York City and New Orleans and is currently Chair of the Manhattan Charter School board of trustees. He is the author of numerous scholarly and professional books, articles and other publications, including (with Todd Ziebarth) the *Charter School Law Deskbook.*

University of Colorado Denver, Center for Education Policy Analysis – Project Evaluator

The **Center for Education Policy Analysis (CEPA)** at the School of Public Affairs, University of Colorado Denver has an ambitious research agenda that includes evaluation of national and local innovations in education, evaluation of educational outcomes and of parent satisfaction, and other policy research.

CEPA's mission is to provide applied research and program evaluation, strategic planning, and facilitation that enhance the capacity of local and national education communities to make informed decisions and solve problems, especially to ensure the most efficacious use of public resources and improve access and outcomes for disadvantaged populations.

CEPA focuses on preK-12 policy issues, (governance, finance, leadership, management, standards development, school readiness, parent involvement, school choice, competition and parent information issues) and higher education systems integration issues . CEPA staff are experienced and knowledgeable in school finance issues and economic analysis, and are well-connected to the state's education policy making and advocacy communities. Since 2004, CEPA

has been funded by national organizations such as the Bill and Melinda Gates Foundation as part of the University of Washington's Center for Reinventing Public Education's "Doing Choice Right" project.

Key CEPA Personnel

Dr. Robert Reichardt is the Director of the Center for Education Policy Analysis at the University of Colorado Denver. Reichardt was previously Executive Director of the Alliance for Quality Teaching (AQT) and, before that, a Senior Researcher for the regional education laboratory; McREL. He authored the 2006 report on teaching in Colorado for AQT and is one of the leading authorities on teacher preparation, teacher quality and teacher performance. . Reichardt is Research Faculty at the University's School of Public Affairs and is currently evaluating ProComp in Denver and part of the Portfolio Network research team working with the Center for Reinventing Public Education.

National Advisory Panel

NACSA's Board of Directors will join with NACSA's National Advisory Panel, project partners, lead consultants and representatives of the project's model sites to form the National Advisory Panel. The Panel will be comprised of more than two dozen of the nation's leading policy experts and practitioners in the charter school and education reform sectors, many with deep, direct experience and expertise in the issues of performance management, replication and closure. Biographies of the members of NACSA's National Advisory Panel and Board of Directors are included as Appendix X.

(vi) Quality of the Management Plan

To fulfill the expectations of the PMRC Project, NACSA will adopt a management plan that involves staffing the project with highly experienced personnel, engaging the appropriate

partners and consultants and aligning all activities and budgetary matters to the set goal - increasing the number of states and authorizers that use comprehensive school performance frameworks to drive charter school replication and closure practices. Having led major projects under two previous national activities grants since 2001 the organization has experienced the challenges, expectations and demands of managing a large-scale national activities project. Also, as NACSA's mission is to improve the quality of authorizing nationally, this effort aligns to other NACSA initiatives, thus making NACSA's leadership and staff accustomed to projects of similar scope and scale. Because of the importance and intended impact of PMRC, NACSA will prioritize this project in its portfolio of projects and ensure that staff is dedicated to meeting the requirements of the grant on time and within budget.

NACSA also has the capacity to manage and monitor the use of grant funds. NACSA currently manages over $5 million dollars in private philanthropic funds, member dues and consulting income each year. The management of these funds and the associated set of deliverables and responsibilities require the creation and maintenance of financial, project management and reporting systems. NACSA uses these systems to provide regular and complete reporting to its staff, its board, its members and its funders.

As described in the Key Project Personnel section of this proposal, the collective experience and dedication of the team are well-matched for the challenges of this project and demonstrate the capacity to ensure its success.

Greg Richmond is the President and CEO of the National Association of Charter School Authorizers (NACSA) and will lead the overall project by engaging and enlisting national thought partners, mobilizing support for the effort, and serving as the lead spokesperson for the effort in local and national media.

William Haft is NACSA's Vice President of Authorizer Development and is responsible for the development and delivery of the organizations consulting services. He will direct the implementation of the work throughout the three phases of the project and ensure all activities are integrated, aligned and progress on schedule and within budget.

Alex Medler is NACSA's Vice President for Policy and Research and is responsible for the development of the organization's knowledge resources. He will serve as the lead for all policy related considerations and recommendations and manage the consultants that support this work on the ground at each of the pilot sites. He will also manage the external evaluation team and ensure that they have access to pertinent information to comprehensive understand the impact of the project.

David Hansen is NACSA's Vice President for External Affairs and is responsible for the overall direction and coordination of the organization's communications, government relations and membership program. He will oversee the communications strategy- managing the development, alignment and execution of all dissemination efforts.

Kathryn Kelly is NACSA's Chief of Staff and is responsible for coordination of NACSA's grant activities and ensuring that the organization is continually engaged in work that results in meeting grant deliverables and moving the organization toward its overall goals. She will be responsible for all grant reporting and will work with the project manager to create and utilize project management systems to monitor and coordinate all grant activities.

Michael Cernauskas is NACSA's Chief Financial Officer and will be responsible for all financial management and reporting requirements.

Upon receipt of the grant NACSA will hire a Project Director who will manage the day-to-day operations and implementation of all aspects of the grant, overseeing the work of all

partners and consultants and being their primary liaison to NACSA. This individual will have significant experience in national education reform efforts, a minimum of seven years of project management experience in the K-12 sector, with a strong results orientation and a demonstrated experience engaging and leading senior leadership teams.

NACSA's people, strategy and operating capacity have delivered high-quality results since its inception. Since its establishment ten years ago, NACSA's team has accomplished several activities of national scale:

- Established the widely recognized and accepted national standards for authorizing, *Principles & Standards for Quality Charter School Authorizing*;
- Organized annual conferences that each year attracts leading authorizers, education policy advocates, researchers, charter operators and support organizations and funders;
- Provided authorizer-specific technical assistance in places as diverse as New Orleans, Denver, Kansas City, Memphis and New York City;
- Designed and delivered state- and locally-customized training workshops for authorizers in numerous states, from Florida to Oregon and from Idaho to Georgia;
- Published more than two dozen Issue Briefs and Policy Guides providing important practical and policy guidance to authorizers and lawmakers;
- Produced a series of manuals to guide school districts in developing and implementing a successful "Start Fresh" strategy to restructure low-performing schools;
- Developed and piloted a framework for the systemic evaluation of authorizer practice;
- Developed specific state-level guidance for authorizer and charter school accountability under No Child Left Behind;

- Provided guidance on authorizers' special education responsibilities in partnership with the National Association of State Directors of Special Education; and
- Instituted an unprecedented annual national survey of authorizer organizations to highlight the current state of authorizers and their practices.

NACSA possesses the proven organizational capacity not only to implement the PMRC project on-time and within budget, but to do so in the same exemplary manner that has characterized its past work. The timeline of project activities and deliverables that will guide NACSA's grant accountability system along with a distribution of staff time are found in Appendix XI.

(vii) Quality of the Project Evaluation

This project aligns with NACSA's long range commitment as an organization to implement a research-based approach to improving outcomes for students through quality authorizing and its program goal to improve the number of high quality charter schools throughout the nation with a focus on schools serving students who do not have access to high quality schools. In addition to evaluating the results of this project, this evaluation will build information and baseline data that NACSA will use, beyond the timeline and the scope of the proposed work, to study the impact of NACSA's recommended actions in improving student outcomes through improved authorizer practices. The project evaluation will identify strengths and weaknesses in the project's dissemination of model materials and policies. This information will be used by NACSA and its project partners and consultants to determine how to most effectively share these materials to enhance effective implementation nationally to impact the largest number of charter school authorizers and the largest portion of charter schools to increase performance.

The evaluation will leverage data produced by NACSA and its project partners and consultant; but the overall evaluation coordination and analysis will be led and conducted by the Center for Education Policy Analysis (CEPA), at the University of Colorado Denver (UCD). CEPA is headed by Robert Reichardt, Ph.D. CEPA focuses on P-20 policy issues, (governance, finance, leadership, management). CEPA staff are experienced and knowledgeable in school finance issues and economic analysis, and are well-connected to the state's education policy making and advocacy communities. Since 2004, CEPA has been funded by national organizations like the Bill and Melinda Gates Foundation as part of the University of Washington's Center for Reinventing Public Education's "Doing Choice Right" project.

The evaluation has three basic evaluation questions:

1. *Summative:* Did the information created and disseminated on best policy and practice enhance NACSA capacity and spur changes in state policy and authorizer practices?
2. *Process:* Did the project achieve its performance measures for each of its activities in support of its outcomes?
3. *Formative:* How can NACSA maximize its impact on improving authorizing practice through dissemination and support processes and procedures?

Evaluation of Project Outcomes (in Year 3)

Project Outcomes	Data sources	Data analysis
1. By the end of Year 3, 15% of the charter schools in the country will be overseen by authorizers using PMRC, measured by the proportion of the charter schools in the nation in the portfolios of participating authorizers by the end of the third year of the grant. After the project, by the end of Year 4, we plan to have 20% coverage and 30% by the end of Year 5. a. Among these, NACSA will provide	Integrated data set	Descriptive analysis

support to authorizers that directly oversee large numbers of students served by schools that are currently identified for improvement, corrective action, or restructuring; or they oversee schools located in such communities.		
1. State law on authorization will incorporate and support PMRC in at least 2 states by the completion of the grant.	National Alliance of Public Charter Schools Law	PMRC in state law in year 1 and year 3
2. State Board Policies, regulations or rules, will incorporate and support PMRC in at least 2 states by completion of the grant.	National Alliance of Public Charter Schools Law; and NACSA and CEPA Policy Analysis	PMRC in state law in year 1 and year 3

Process and Formative Evaluation

There are two primary project outputs: project activities and verification of output (such as selected sites, reports, etc). There are also several formative evaluation questions to be addressed as part of each objective. The formative evaluation questions are expected to evolve throughout the project implementation as NACSA's processes and procedures evolve through their research-based learning.

Objective 1:

Activity	Performance measure	Data sources
Conduct research of model sites	1. In year 1, narrow model sites to six based on project goals for extensive research 2. In year 1, collect summary data on model site policy and practice around performance management, replication and closure	1. Review of procedures for identification of model sites. 2. Verification of sample selection using correlation of model sites with integrated authorizer data set. 3. Review of procedures/ protocols developed for summary data collection.
Conduct	1. In year 1, conduct detailed evaluation	1. Review evaluation planed

evaluation of model sites	procedures based on *Principles & Standards for Quality Charter School Authorizing.* 2. In year 1, analysis of the statutory and policy implications that led to the current practices is conducted. 3. In year 1, evaluation of six model sites.	procedures 2. Review of analysis procedures 3. Review of evaluation as activities (e.g. interview rosters, materials collected, etc)
Comprehensive report	1. In year 1, analyze data collected from model sites and produce comprehensive reports.	1. Review of analysis procedures 2. Review of reports/outputs
Formative Questions	1. Does the empirical research conducted at the model sites lead to any changes or re-examination of practice by NACASA or its partners and consultants? 2. Validation of NACSA Authorizer survey using data from model sites.	1. Key informant interviews with leaders in the model sites

Objective 2:

Activity	Performance measure	Data sources
Convene National Advisory Panel (NAP)	1. In year 1, advisors are invited and agree to participate that reflect project needs. 2. In year 1, the NAP meets at least two times (in person or electronically) to review and provide input on PMRC.	1. Review of NAP membership and procedures 2. Review of meeting minutes and activities
Develop model PMRC framework to pilot at demonstration sites	1. In year 1, a draft model PMRC is created. 2. In year 2, an implementation plan is developed for each site with specific goals, timelines and responsible parties. 3. In year 2, a consultant is assigned to each site. 4. In year 2, a plan for monitoring the implementation of the PMRC at each	1. Draft model PMRC 2. Implementation plans and procedures 3. Consultant assignments and procedures 4. Review of monitoring as accomplished

	site is developed and monitored in years 2-3.	
Formative evaluation	1. How did the process of reaching consensus among NACSA, its partners, lead consultants, and National Advisory Panel members on model policy, practice and resources improve the knowledge base of participants about good practice?	1. Interviews with NAP members, NACSA staff, project partners and consultants

Objective 3:

Activity	Performance measure	Data sources
Identify and evaluate demonstration sites	1. In year 1, a procedure for determining sites is developed that matches the goals of the project. 2. In year 1, a four-site sample is selected. 3. In year 1, the sites are evaluated in terms of strengths, challenges and greatest opportunities for improvement.	1. Analysis of sites' characteristics relative to project goals 2. Evaluation procedures and output
Pilot the framework at demonstration sites	1. In years 2 and 3, implementation of the implementation plans occurs according to project plan. 2. In year 3, a post-implementation evaluation is conducted. 3. In year 3, the evaluation results are incorporated recommendations for refinement of the PMRC.	1. Review of implementation as accomplished 2. Procedures and output from post-implementation evaluation
NAP refines supports	1. Panel is convened. 2. Panel makes recommendations for revision of PMRC.	1. Meeting notes 2. Revised PMRC
Formative Evaluation	1. What are the structures in place to sustain PMRC post project? 2. What influences the development of these structures?	1. Ken informant interviews at demonstration sites

Objective 4:

Activity	Performance measure	Data sources
Publish research and model framework	1. In year 1, NACSA post draft model PMRC. 2. In year 3, the final PMRC is posted on the NACSA website, printed.	1. Posting activities
NACSA Dissemination	1. In year 3, NACSA electronically disseminates model resources to every authorizer in the country. 2. In year 3, at least 100 authorizers participate in webinars. 3. In year 3, at least 50 authorizers attend a PMRC session at NACSA's annual conference	1. Distributing resources 2. Meeting rosters and notes
Aspen Institute Dissemination	1. The Aspen Institute convenes 2 meetings in year.	1. Meeting rosters and notes
CCSO dissemination	1. In year 3, CCSSO disseminates model state statutes and policies to all 51 state chiefs. 2. In year 3, at least 3 chiefs attend CCSSO conference sessions on PMRC model resources .	1. Meeting rosters and notes 2. Survey dissemination recipients and meeting participants.
Formative evaluation	1. Do key audiences perceive NACSA, its partners and consultants as reliable sources/messengers on charter school law and policy reform and authorizer best practice? 2. Were key stakeholders/audiences attending convening's, why or why not? 3. Did convening participants, state policymakers, and authorizers find the materials to be clear, understandable, sufficient in scope, and actionable given barriers they face?	1. Survey convening participants on impact of PMRC on practice 2. Case study of 10 purposely selected authorizers.

	4. To what extent do audiences introduced to the materials decide to pursue further information and/or training? 5. To what extent do key audiences perceive the underlying design principles to be relevant beyond charter schools and have plans to apply them in a broader venue?	

Data sources and analysis

The evaluation will use mixed methods research design, with different types of data collection scheduled at each phase of the project. The Evaluation will build upon NACSA's annual national survey of authorizers which has been implemented for the past two years (2008 and 2009) and will be conducted again each year, including the next survey in the early summer of 2010. It will be used to determine whether improvements in authorizing practices occur during the study period and whether the materials developed by NACSA, its partners and consultants contributed to those changes. The evaluators will work with NACSA to refine, validate and extend the survey. This instrument will provide baseline data for the study of changes in practice that result from this project. The survey will be revised if necessary to better capture to elements of the PMRC as it is developed. As dissemination activities proceed, it may also be necessary to revise sampling procedures for small authorizers to measure adoption of new practices by those authorizers. This survey data will be integrated with CREDO's charter school outcome data, NACSA authorizer survey and the National Center for Education Statistics (NCES) Common Core of Data (CCD). This data set will be developed by NACSA using funds outside of this project and will support outcome analysis throughout the project and analysis of NACSA goals after the project is completed.

This integrated data set will be analyzed using various statistical methods including descriptive statistics, ANOVA and OLS regression as appropriate. In most cases the unit of analysis will be the authorizer. Survey data collected as part of this project will be analyzed using descriptive statistics and factor analysis. Interview data will be analyzed through identification of themes and coding of responses using software as appropriate to support that analysis.

A key formative evaluation activity will be case studies of ten authorizers in year 3. These authorizers will be selected along a continuum of implementation of PMRC practices (using the NACSA authorizer survey). Interviews will begin with key leaders within authorizers and use a snowball sample to identify key informants on the chartering and authorizing environment.

Key data sources to be developed or revised during the project.

Data source developed	When Developed/Collected
1. NACSA's annual survey of authorizers, revised to measure PMRC practices	Developed prior to project, revised annually, collected Years 1-3
2. Integrated data set	Developed in Year 1, used Years 1-3
3. Rubric for incorporation of PMRC in state law	Developed in Year 1, used Year 1,3
4. Implementation site visit data collection form	Year 2
5. Survey of convening participants	Years 2, 3
6. Key informant interview protocol on impact of NACSA activities in model sites	Year 1
7. NACSA, project partners, lead consultants and Panel interview protocols	Year 2
8. Key informant interview protocols on implementation in demonstration sites	Year 1

9. Interview protocol for intensive cases study of NACSA dissemination and support practice	Year 2, 3

Project Narrative

Other

Attachment 1:
Title: **NACSA Project Appendices** Pages: **174** Uploaded File: **NACSA CSP Grant Appendices.pdf**

APPENDIX I

THE STATE OF CHARTER SCHOOL AUTHORIZING - 2009

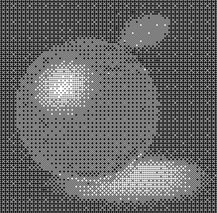
National Association of Charter School Authorizers

5/14/2010

THE STATE OF CHARTER SCHOOL AUTHORIZING

2009

2ND ANNUAL REPORT ON NACSA'S AUTHORIZER SURVEY



nacsa
NATIONAL ASSOCIATION OF CHARTER SCHOOL AUTHORIZERS

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EXECUTIVE SUMMARY

The performance of the entities that authorize charter schools is of critical importance to the continued growth and development of the charter school sector. Different types of entities serve as charter school authorizers. Depending on state law, authorizers can be school districts, state education agencies, higher education institutions, independent chartering boards, non-profit organizations, and mayors and municipalities.

In 2009, the National Association of Charter School Authorizers (NACSA) reported the results of its first annual survey of charter school authorizers. The survey, conducted during the 2007-08 school year, collected and analyzed basic data about these entities and how they conduct their business: from reviewing applications; to executing, enforcing and renewing contracts; to monitoring the academic, operational and financial performance of the schools they oversee.

This second annual report, based on a survey conducted at the conclusion of the 2008-09 school year, delves deeper into the policies and practices of charter school authorizers. In this new round, NACSA surveyed all of the nation's large authorizers (those with 10 or more schools in their portfolios), which collectively oversee more than half of the nation's charter school students and 64% of all charter schools.[1] In addition, NACSA surveyed a sample of smaller authorizing entities.

The goal of this ongoing effort is to enlarge awareness and understanding of the evolving role and responsibilities of authorizers in the areas of quality control and innovation.

Among the key findings of the 2009 survey are that large authorizers of all types share many values and priorities in the oversight of charter schools and that — to varying degrees — they have embraced many authorizing practices recommended by NACSA. Large authorizers appear to be rigorous in some areas, notably:

- Reviewing applications for new charter schools.
  Eighty-seven percent of large authorizers, for example, report conducting face-to-face interviews with charter applicants and using the results to weigh applicants' likelihood of success. Among the factors that authorizers say they take into account during the review process, the quality of the proposed academic program ranks first.

- Performance contracting.
  Ninety percent of large authorizers report signing formal contracts with each of the schools they oversee, and a large majority report including in their contracts specific performance expectations and goals, as measured by test results, student growth scores, comparisons with similar schools and Adequate Yearly Progress (AYP) status.

- Closing low-performing schools during the renewal process.
  In 2008-09, the closure rate among schools up for renewal by large authorizers was relatively high, with roughly one in seven (14%) not surviving the review process. By contrast, only a handful of schools (1%) were closed outside the renewal process, through either revocation or voluntary surrender of a charter. Closures that occur during the renewal process are more likely to be the result of sub-par academic performance; revocations or surrenders that occur outside of the renewal process are more likely to be the result of financial problems or compliance issues.

A number of large authorizers report not having adopted certain key practices, such as using external panels of experts to review new charter applications (52% do not); conducting face-to-face interviews with charter applicants (13% do not require interviews or do not rate them as important); requiring an annual financial audit of all charter schools (13% do not); and signing formal contracts with the schools they oversee (10% do not).

Some specific types of large authorizers, including independent chartering boards, report not having reviewed the charter of any of their schools as part of a renewal process during 2008-09. And among large authorizers, non-profit organizations appear to have the least rigorous application processes, as indicated by relatively high approval rates for charter applicants (50% compared with an overall approval rate of 38% for large authorizers).

The survey results also suggest that the issues of capacity and infrastructure remain major challenges for charter school authorizers. Among large authorizers, only 56% report having a budget dedicated to authorizing duties, and 48% do not feel that their organization allocates enough resources to fulfill its authorizing responsibilities.

Other key findings include the following:

- Large authorizers typically provide fewer direct services to charter schools than small authorizers do, and are less likely to intervene directly in the operation of struggling schools. Large authorizers are more likely to identify problems and require that they be addressed, but also to stop short of prescribing what should be done to fix them. By contrast, small authorizers are more likely to get involved in decisions about what a struggling school should do to improve.

- Compared with non-district authorizers, district authorizers appear to treat their charter schools more like traditional public schools. District authorizers are more likely to provide their charter schools with facilities or assistance in financing facilities; they are also more likely to take actions that can undermine the autonomy of charter schools. In addition, they are less likely than non-district authorizers to support performance standards for charter schools that are higher than those required by the state to meet AYP.

- State education agencies (SEAs) appear to be operating in a challenging context and some have not adopted recommended authorizing practices. SEAs are the most understaffed and under-resourced of the large authorizers. Some SEAs appear to treat charter authorizing like another state-run education improvement program, without accommodating the unique work associated with charter school

oversight. Among large authorizers, SEAs are the least likely to sign formal contracts with their schools, and are also less likely to support standards of academic performance that are higher than those required by the state to meet AYP.

The first section of this report provides a brief overview of the number, types, and portfolio sizes of charter school authorizers currently overseeing charter schools across the nation.

The midsection of the report outlines data from the latest survey, highlighting notable data and trends reported by large authorizers that responded to the 2009 survey. It is organized around NACSA's *Principles & Standards for Quality Charter School Authorizing*.[2] These principles and standards reflect the charter sector's consensus on best practices in authorizing across five key areas: application process, performance contracting, ongoing oversight and evaluation, renewal decision making, and agency capacity and infrastructure.

The next three sections analyze survey data in detail, including comparisons of: (1) large and small authorizers, (2) district and non-district authorizers, and (3) different types of authorizers. A final section discusses key implications of this research and future research questions.

Section 1: Profile of Charter School Authorizers

Currently, 40 states and the District of Columbia have charter school laws. These laws empower a variety of entities to authorize charter schools, creating an amalgam of authorizer types, characteristics, and powers in each state.

NACSA has identified six types of authorizers — the vast majority of which are school districts (local education agencies, or LEAs), followed by higher education institutions (HEIs), non-for-profit organizations (NFPs), state education agencies (SEAs), independent chartering boards (ICBs), and mayors/municipalities (MUNs).

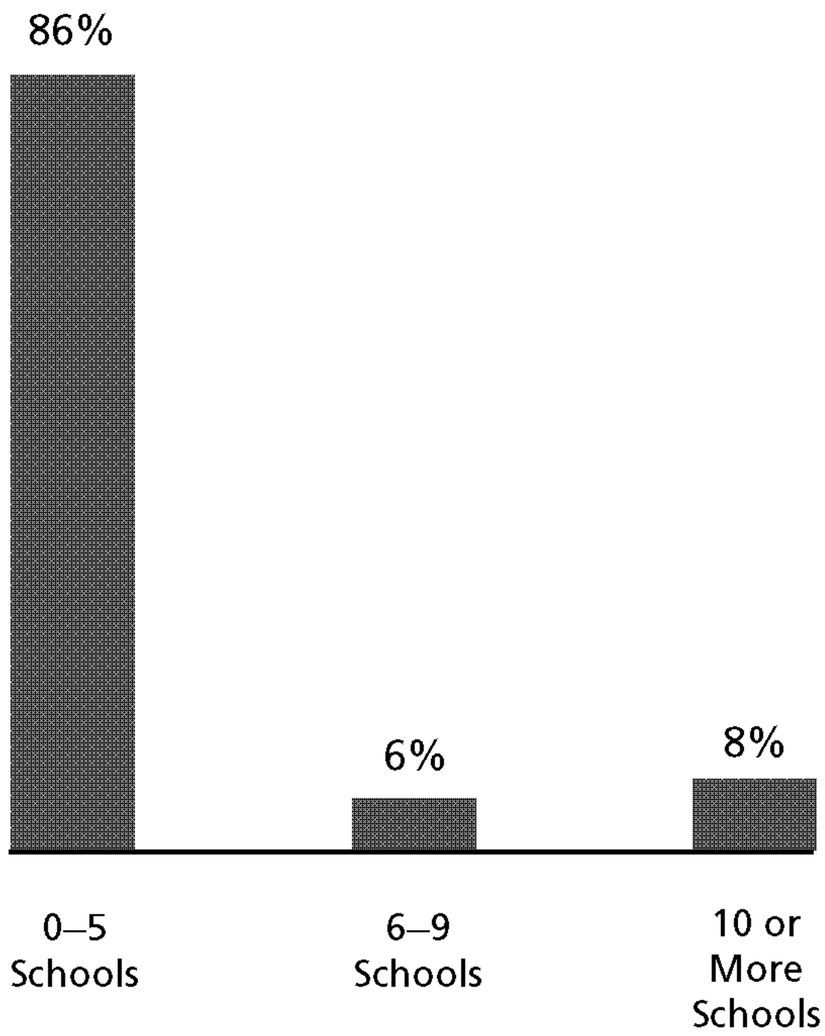
As of January 2010, there were an estimated 872 authorizers across the nation,[3] up from 819 the year before. Collectively, these authorizers oversee and hold accountable 4,956 charter schools serving 1.6 million students.[4] Table 1 shows the number and percentage of authorizers by type.

Table 1: *Number and Percentage of Charter School Authorizers, by Type*

TYPE	2007-08 NUMBER	%	2008-09 NUMBER	%	2009-10 NUMBER	%
LEA	624	88	726	89	776	89
HEI	38	5	42	5	47	5
SEA	23	3	21	3	20	2
NFP	20	3	21	3	20	2
ICB	5	1	7	1	7	1
MUN	2	<1	2	<1	2	<1
Total	**712**	**100**	**819**	**100**	**872**	**100**

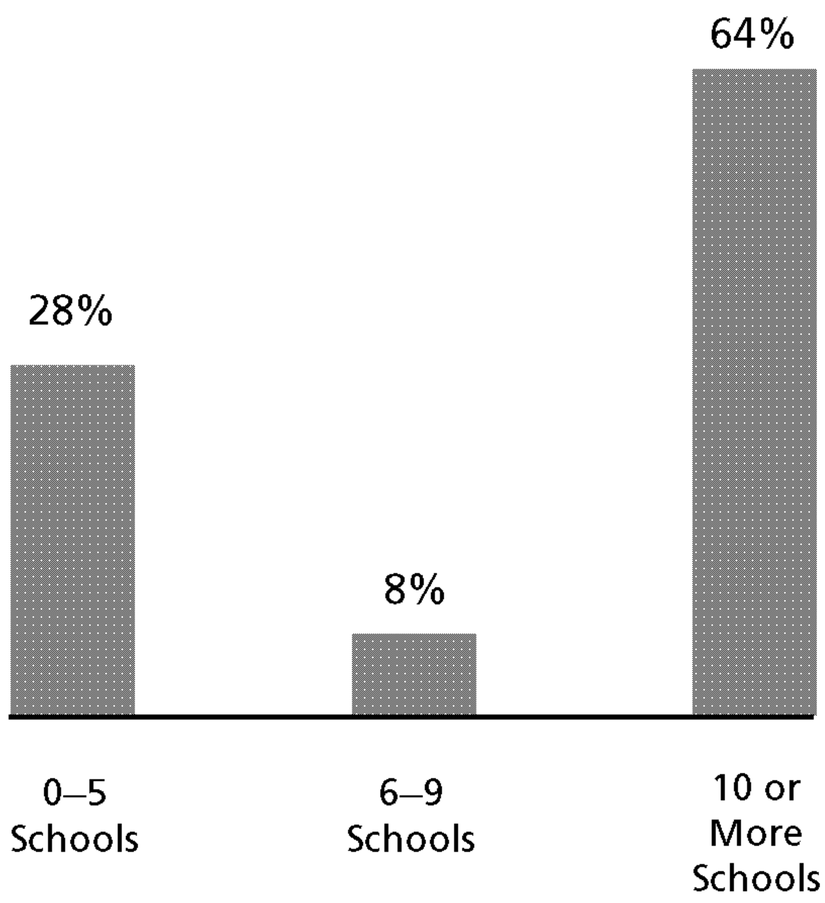
The number of schools that an authorizer oversees indicates the influence of that authorizer as well as the scale of its operations. Of the 872 authorizers identified by NACSA, 86% oversee five or fewer charter schools and only 8% oversee 10 or more schools (Figure 1).

Figure 1: *Percent of Charter School Authorizers, by Portfolio Size*



While relatively small in number, the 70 large authorizers in the "10 or more" category collectively oversee more than half of the nation's charter schools and roughly 59% of all charter school students.[6] As Figure 2 shows, 64% of all charter schools in the nation are overseen by authorizers having 10 or more schools.

Figure 2: *Percent of Charter Schools, by Authorizer's Portfolio Size*



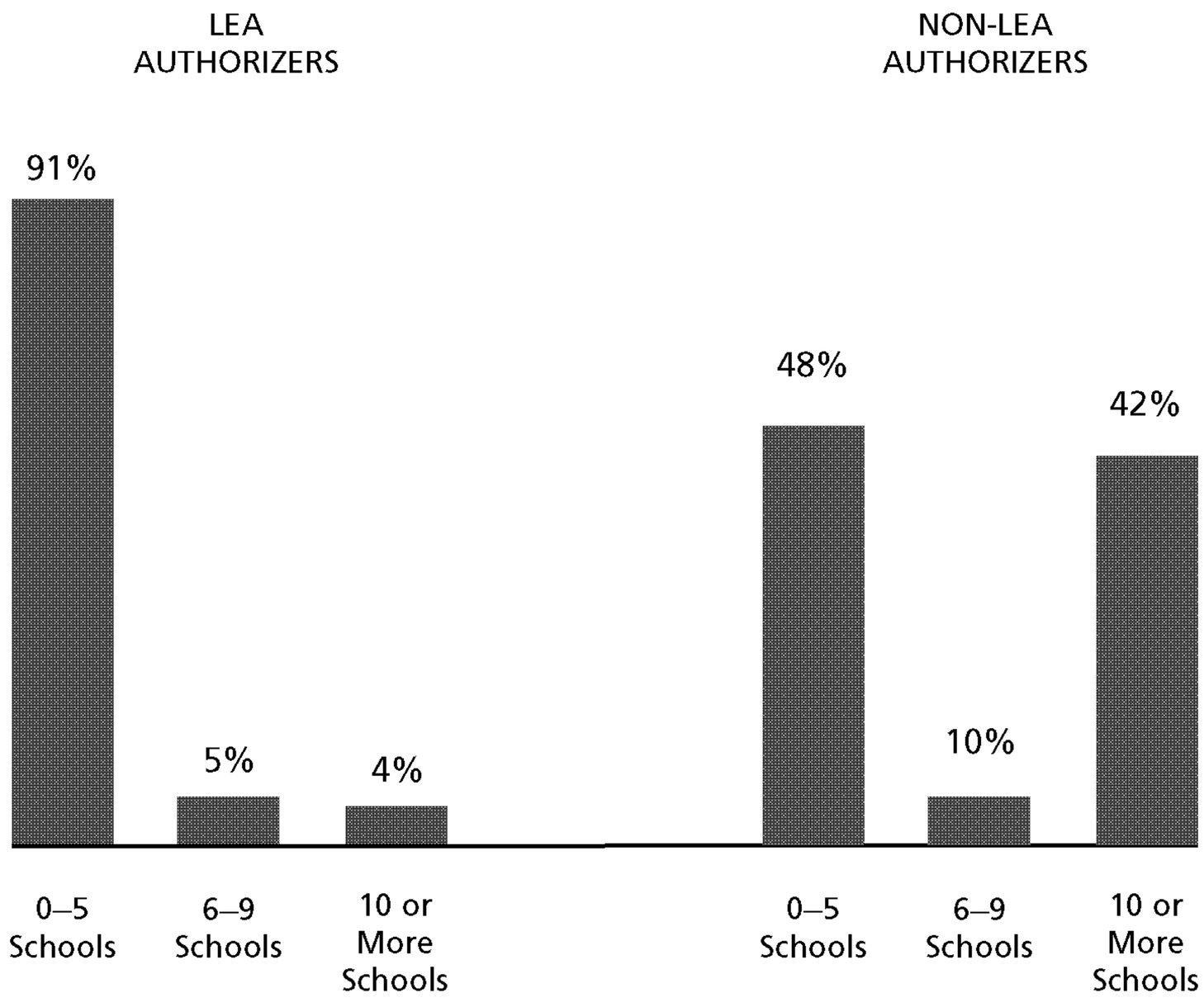
Portfolio size varies by type of authorizer. LEAs dominate the 0–5 school portfolio category, but decrease in percentage as portfolio size increases (Table 2).

Table 2: *Portfolio Size, by Authorizer Type*

TYPE	0–5 SCHOOLS	6–9 SCHOOLS	10 OR MORE SCHOOLS	TOTAL
LEA	706	40	30	776
ICB	1	1	5	7
HEI	32	6	9	47
MUN	1	0	1	2
NFP	10	2	8	20
SEA	2	1	17	20
Total	**752**	**50**	**70**	**872**

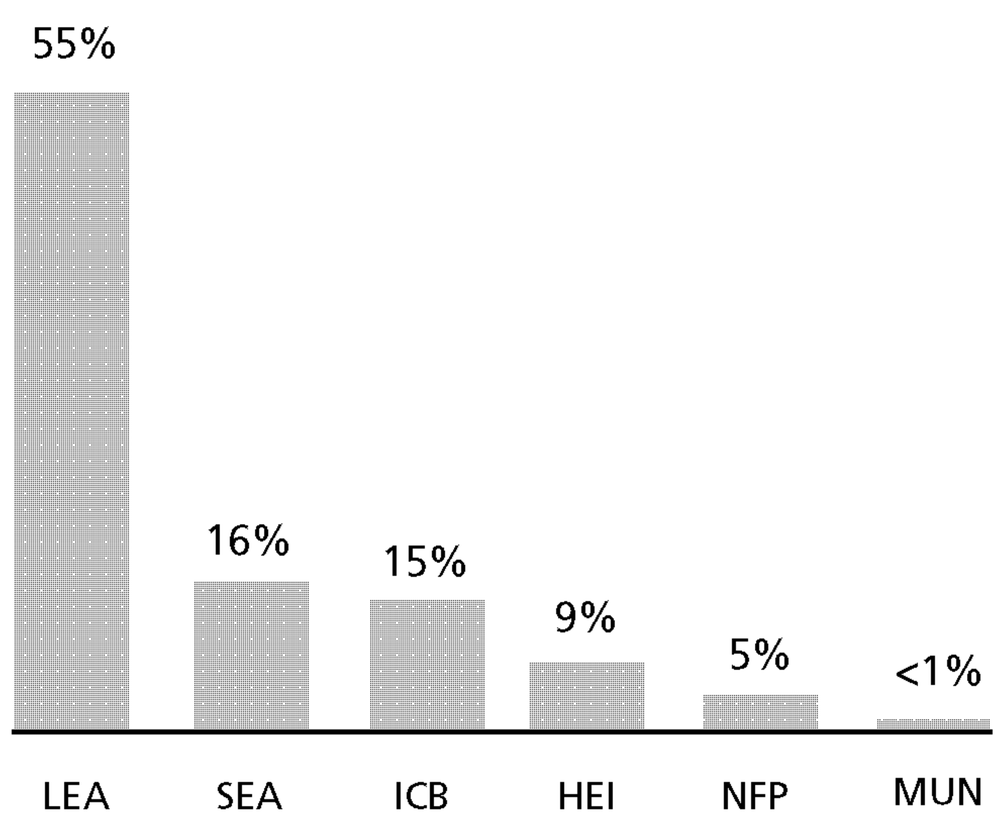
Ninety-one percent of all LEA (district) authorizers have portfolios of fewer than six charter schools, while the portfolio sizes of non-LEA (non-district) authorizers are more varied (Figure 3).

Figure 3: *Portfolio Size, LEA vs. Non-LEA Authorizers*



Several factors could account for the LEA authorizers' relatively small portfolio size. One possibility is that school districts may view chartering primarily as an opportunity to provide a niche program for motivated school leaders or unique populations of students. In some cases, districts have been forced into authorizing through a charter appeals process and consequently may not have embraced it is an opportunity to create new options for families. Finally, it may be that chartering districts have comparatively small student populations that limit the number of schools needed or the number of students interested in enrolling in charters. Despite their small average portfolio size, LEAs oversee the majority of charter schools in the nation (Figure 4).

Figure 4: *Percentage of Charter Schools in the Nation, by Authorizer Type* [7]



DISCUSSION

While there are hundreds of charter authorizers in the country, the responsibility for overseeing schools is relatively concentrated within a smaller group. Seventy authorizers that have large portfolios of 10 or more schools oversee most of the nation's charter schools. It is worth noting that the four largest authorizers in the country (the Arizona State Board for Charter Schools, the Texas Education Agency, the Los Angeles Unified School District, and the North Carolina Department of Education) collectively oversee more than 900 schools — about a third of all the schools overseen by survey respondents in the following pages.

Section 2: The Core Work of Large Authorizers

This section describes data and trends reported by the large authorizers that responded to NACSA's 2009 survey. Throughout this report, we use the term *large authorizer* to refer to those whose portfolios contain 10 or more schools. Large authorizers are of particular interest because: (1) they collectively oversaw more than half of the nation's charter schools and roughly 66% of all charter school students in 2008-09; and (2) data from the survey includes responses from 80% of all large authorizers in the nation in 2008-09, allowing us to report on their practices with considerable confidence.

This section and the three sections that follow it are organized around *NACSA's Principles & Standards for Quality Charter School Authorizing*, which reflect the charter sector's consensus on best practices in authorizing across five key areas: (1) application process, (2) performance contracting, (3) ongoing oversight and evaluation, (4) renewal decision making, and (5) agency capacity and infrastructure.

APPLICATION PROCESS

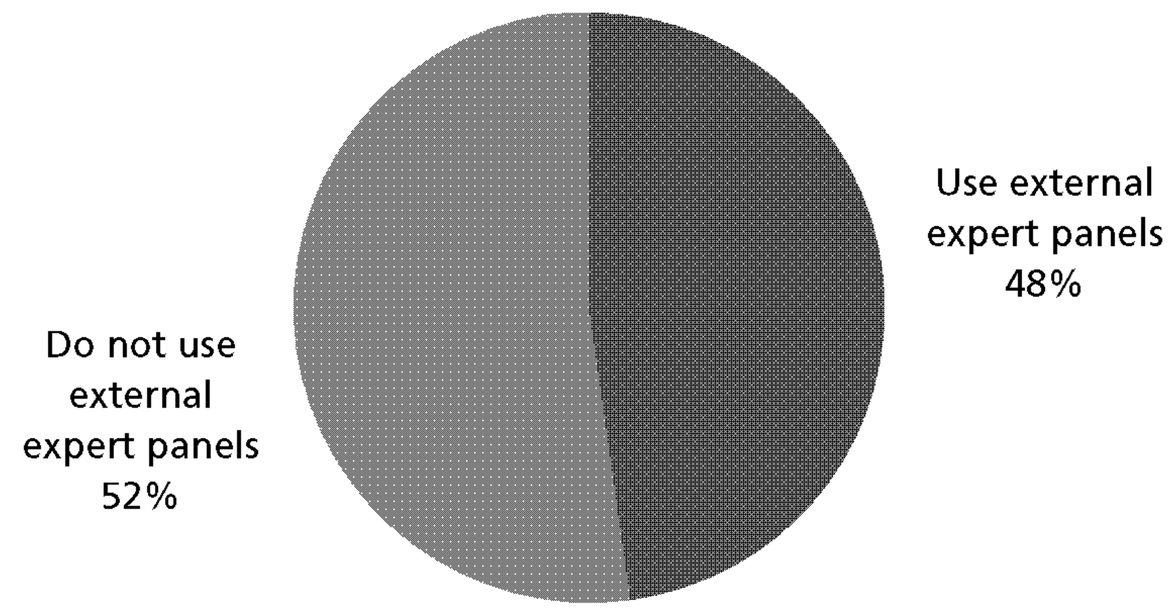
What procedures and processes do authorizers use to solicit and review applications from charter school developers?

Of the large authorizers surveyed, 35% reported issuing annual requests for proposals (RFPs). Some authorizers issue periodic RFPs or formal calls for applications, while others respond to applications from interested parties. Using an RFP and published application procedures can help on two fronts. First, it establishes fair, transparent means for interested parties to apply for a charter. Second, it can help an authorizer recruit and promote schools that serve identified needs or specific student populations. This proactive approach has grown in use by larger districts that embrace chartering as a strategy for improvement.

> "A quality authorizer implements a comprehensive application process that follows fair procedures and rigorous criteria and grants charters only to those developers who demonstrate strong capacity for establishing and operating a quality charter school."
>
> — *NACSA's Principles & Standards for Quality Charter School Authorizing*

Fewer than half (48%) of large authorizers responding to the survey reported using an external panel of experts to review new charter applications (Figure 5). Panels with members who are expert in different subject areas are important because successfully operating a charter school requires the ability to perform a variety of tasks, such as financial management, not-profit governance, and school leadership. External experts help insulate the application review from the political influence of applicants or other factors extraneous to the operation of a successful school.

Figure 5: Percentage of Large Authorizers Employing External Expert Panels



While the large majority of respondents reported that they conduct and value interviews with prospective charter school operators, 13% of large authorizers reported that interviews were either not required or not important (Figure 6). NACSA's *Principles & Standards* recommend face-to-face interviews as an important component of the charter application process. These interviews offer an opportunity for authorizers to explore the extent of the organizing team's capacity to implement what they have written as well as their understanding of what they have proposed to do.

Figure 6: Percentage of Large Authorizers Valuing or Requiring Applicant Interviews

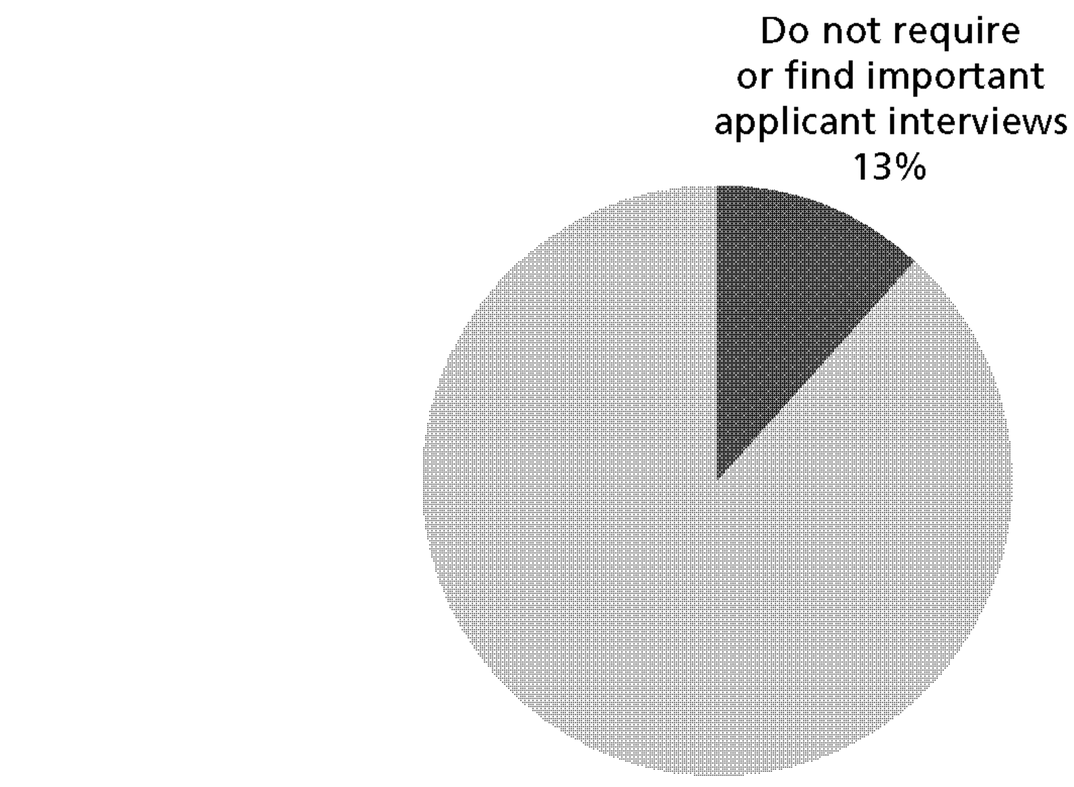
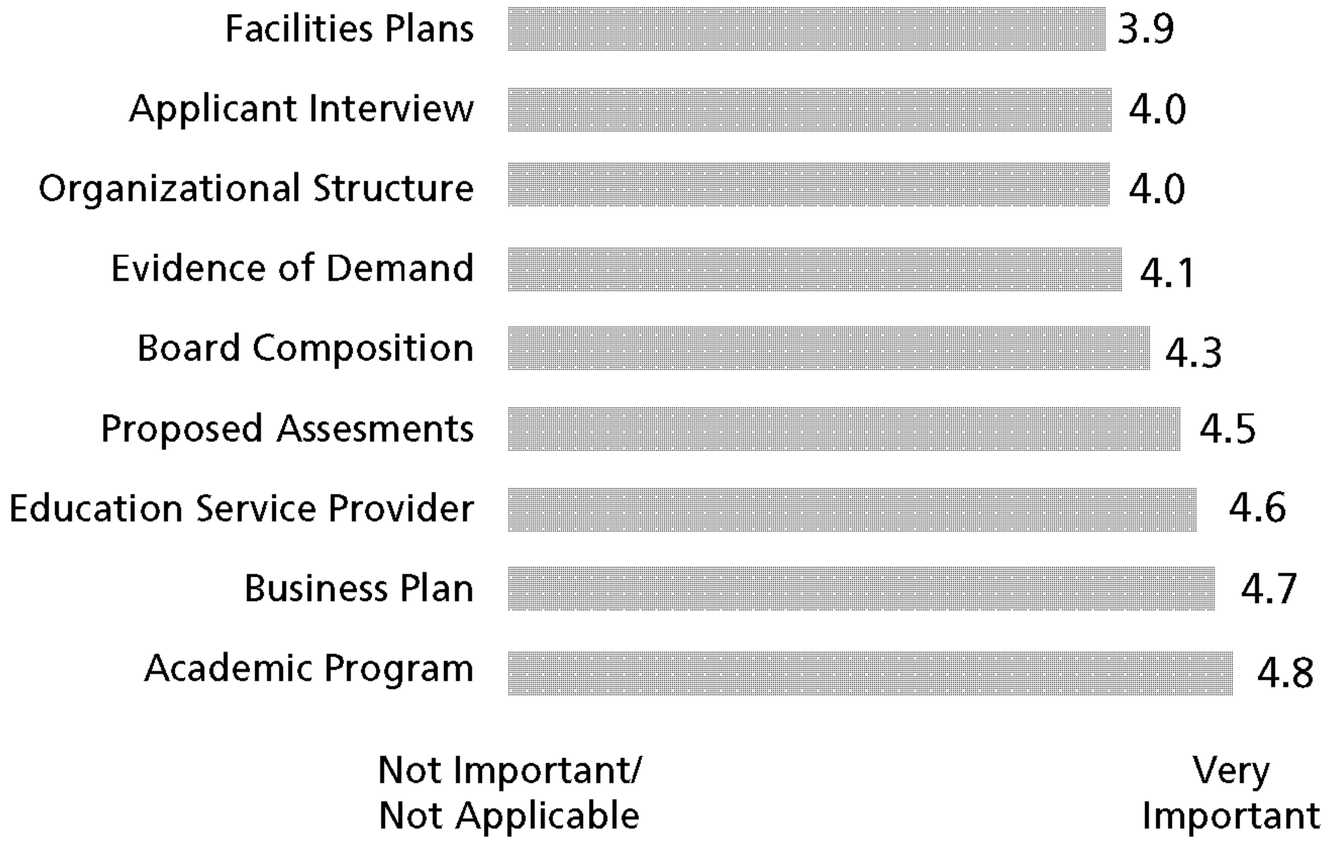


Figure 7 shows how large authorizers prioritize the factors they take into account during the application review process. The quality of the applicant's proposed academic program leads the list.

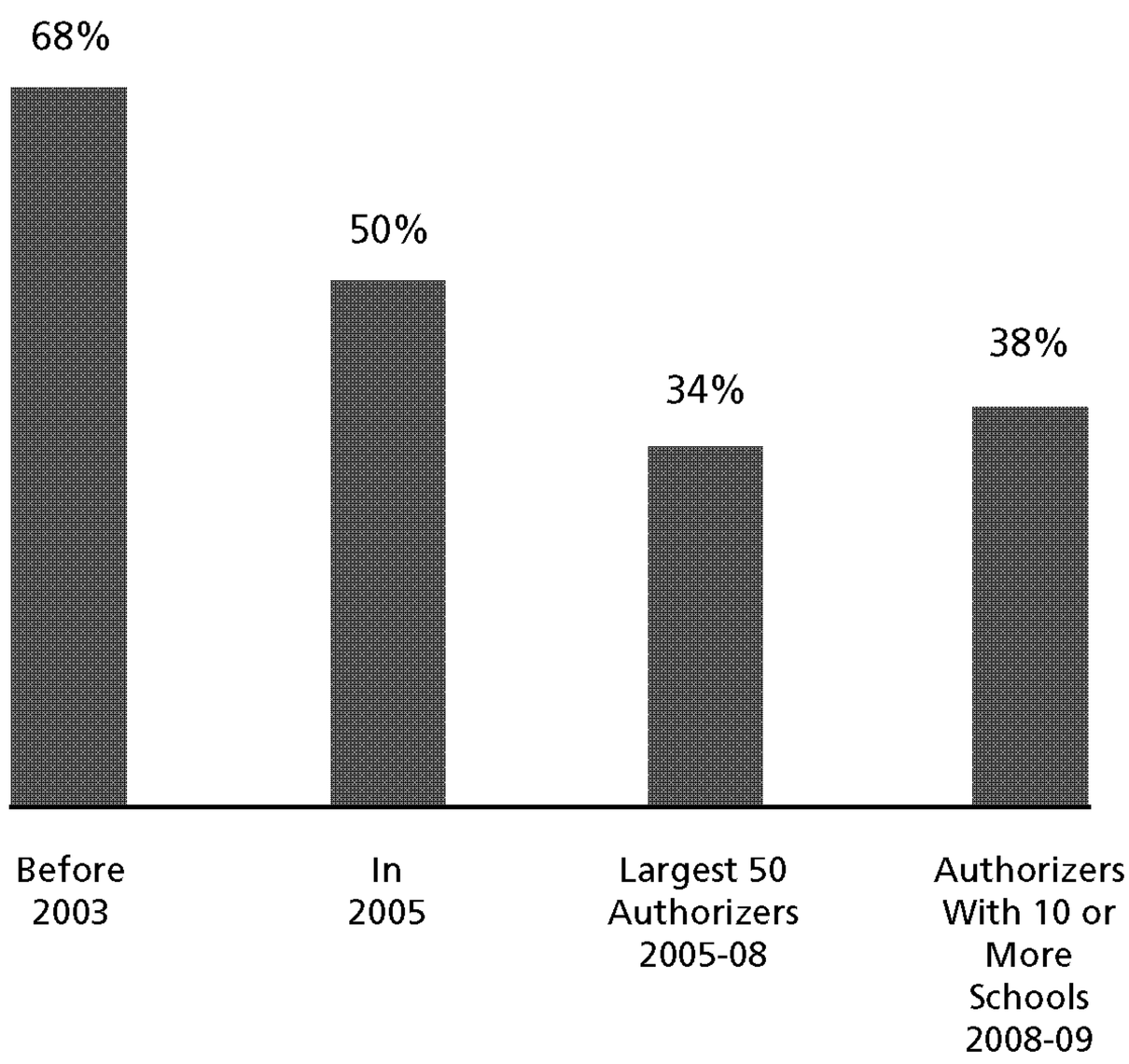
Figure 7: Factors Given the Highest Priority in the Application Review Process



Have application approval rates changed over the past several years, and to what extent do they vary by type of authorizer?

In 2005, NACSA provided national data that was used by the Thomas B. Fordham Foundation in its report, *Trends in Charter School Authorizing*.[8] According to the 2005 report, the approval rate for new charter applications dropped from approximately 68% before 2003 to 50% by 2005. This trend has continued over the past several years, with NACSA surveys showing that between 2005 and 2008 the country's 50 largest authorizers received more than 1,400 applications for new schools, 34% of which were approved; and that in 2008-09, authorizers with 10 or more schools reported approving 38% of the applications they received. While the approval rate increased slightly during these two most recent periods, over time the changes have been more pronounced and approval rates remain much lower at this point than the rates reported five years ago (Figure 8).

Figure 8: *Trends in Application Approval Rates*[9]



There are several possible explanations for the general reduction in approval rates, including:

- Authorizers may be using more-rigorous standards to evaluate applications;

- Statutory caps limiting the number of new charter schools that authorizers can grant may force authorizers to deny applications they would prefer to approve;

- The supply of qualified charter applicants may be declining;

- Authorizers may feel pressure to grant charters only to "proven" models. This pressure may lead authorizers to prefer a smaller set of replicating schools and to deny charters to applicants that would operate schools without relationships to proven models or networks; and

- Some districts may be creating new schools that enjoy some of the autonomy of charters that are not truly charter schools. The opportunity to create these "charter-like" schools, operating within a larger district structure, may encourage educators to forgo the development of a charter school.

Given the simultaneous development of charter support organizations and other entities that help would-be charter founders, it is unlikely that the overall quality of charter applications has decreased while standards of review have either remained constant or been lowered. Anecdotally, authorizers that have been active since the first years of the charter movement describe recent applications as much more sophisticated and thorough than those they received earlier in the charter movement. It is more likely that the quality of applications has increased while approval rates have dropped, suggesting a higher level of rigor and standards in the review of charter applications.

Table 3 shows the average approval rate of new charter applications in 2008-09 among large authorizers, by type — ranging from 50% for non-profit organizations, at the high end, to 25% and 20% for higher education institutions and mayors/municipalities, respectively.

Table 3: *Application Approval Rate, by Type of Large Authorizer*

TYPE OF LARGE AUTHORIZER	AVERAGE APPROVAL RATE (%)
Non-Profit	50
Local Education Agency	39
State Education Agency	38
Independent Charting Board	33
Higher Education Institution	25
Mayors/Municipalities	20
Overall	**38**

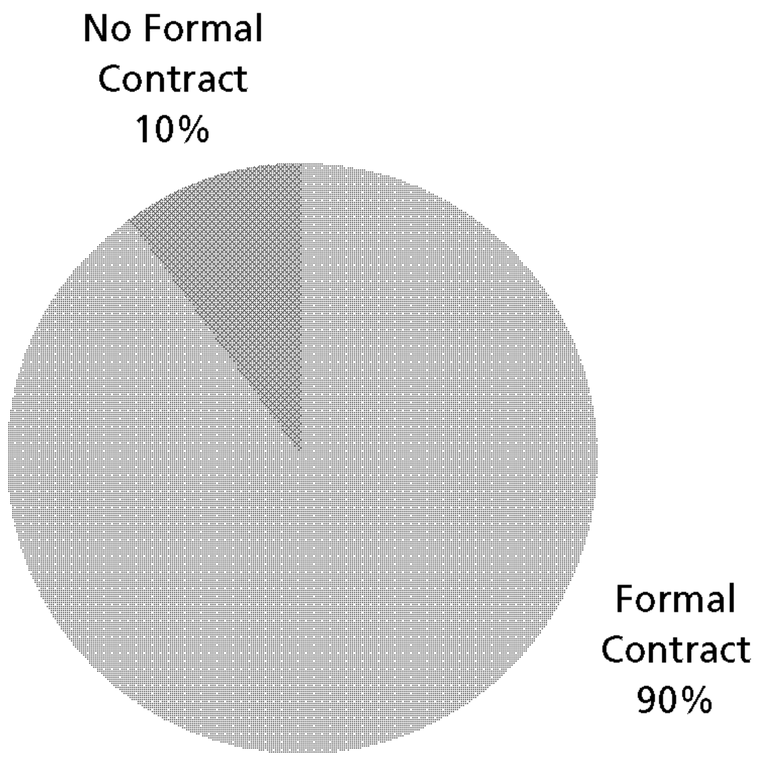
PERFORMANCE CONTRACTING

What provisions do authorizers include in contracts with the schools they oversee?

Contracts outline charter school performance expectations and clarify the roles and responsibilities of both the school and the authorizer. They serve to protect a school's autonomy and safeguard the school from an inappropriate end-of-term review that is not based on performance.

As Figure 9 shows, in 2008-09 all but 10% of large authorizers reported signing formal contracts with the charter schools they oversee — the same percentage reported in 2007-08. The proportion of authorizers that use formal contracts varies by type, from 100% of responding higher education institutions (HEIs) and mayors/ municipalities (MUNs), to 95% of school districts (LEAs) and 75% of state education agencies (SEAs). The entities that reported not entering into contracts with their schools included authorizers from five different states and were a mix of LEAs, SEAs and non-profit authorizers (NFPs).

Figure 9: *Percentage of Large Authorizers Reporting the Use of Formal Contracts*



One possible reason for not having a contract is that a given state's law does not require a charter school to enter into a contract with its authorizer, and therefore some authorizers in that state may not opt to enter into contracts on their own. In the absence of a performance contract, a combination of the charter application and existing legal precedent drive interactions between schools and their authorizers.

Because of the importance of a contract, and at the request of NACSA, Congress included a provision in the 2010 federal spending bill that requires charter schools receiving federal start-up grants to have a contract. Congress also added provisions that require the use of annual financial audits for all schools and encourage authorizers to use achievement data from state accountability systems as the primary way of measuring student performance (for accountability purposes).

> "A quality authorizer negotiates contracts with charter schools that clearly articulate the rights and responsibilities of each party regarding school autonomy, expected success or failure, performance consequences and other material terms."
>
> — *NACSA's Principles & Standards for Quality Charter School Authorizing*

The contract between an authorizer and its charter school generally includes many elements. Table 4 summarizes those elements that large authorizers report addressing in their contracts. The high percentage of large authorizers incorporating similar elements suggests a growing consensus regarding the importance of certain provisions, ranging from performance standards, to waivers, to specific milestones that schools must achieve before opening.

Table 4: *Contract Provisions Reported by Large Authorizers*

REPORTED CONTENTS OF LEGAL AGREEMENTS	LARGE AUTHORIZERS (%)
Performance toward reporting and compliance requirements	92
A requirement for a governing board with legally valid bylaws	90
Definition of (and procedure for) contract amendment and dispute resolution	90
Expectations for compliance with procedural requirements of relevant federal programs	90
Performance toward fiscal goals	86
Specific milestones schools must meet prior to opening doors	86
Performance standards that provide the basis for renewal decisions based on state, federal, and charter requirements	86
Performance goals of student academic measures using growth data	84
Performance toward organizational goals	82
Performance goals on status assessments	82
Performance goals on evidence-based special measures	80
School Adequate Yearly Progress performance	79
Student academic performance on goals compared to other schools	78
Criteria and processes for intervening in a school's operations	77
Waivers from traditional public school laws and regulations	67

Particularly noteworthy are the number of large authorizers in 2008-09 reporting the inclusion in their contracts of accountability measures, such as student status scores (82%), student growth scores (84%), student scores compared to similar schools (78%), and school Adequate Yearly Progress (AYP) status (79%).

ONGOING OVERSIGHT AND EVALUATION

What specific issues and activities do the staff of authorizing entities monitor, and what mechanisms do they use?

A majority of large authorizers reported using internal staff to monitor enrollment (88%), academic outcomes (79%), admissions lottery (75%), regulatory compliance (73%), school finances (68%), expulsions (66%), and implementation of federal programs (56%).

As Tables 5 and 6 show, the monitoring strategies and financial reporting requirements used by large authorizers vary. Large authorizers report using school-site visits, online and paper-based reports, and compliance reviews by outside agencies to monitor their schools.

> "A quality authorizer conducts contract oversight that evaluates performance, monitors compliance, informs intervention and renewal decisions and ensures autonomy provided under applicable law."
>
> — *NACSA's Principles & Standards for Quality Charter School Authorizing*

Table 5: *Monitoring Strategies Used by Large Authorizers*

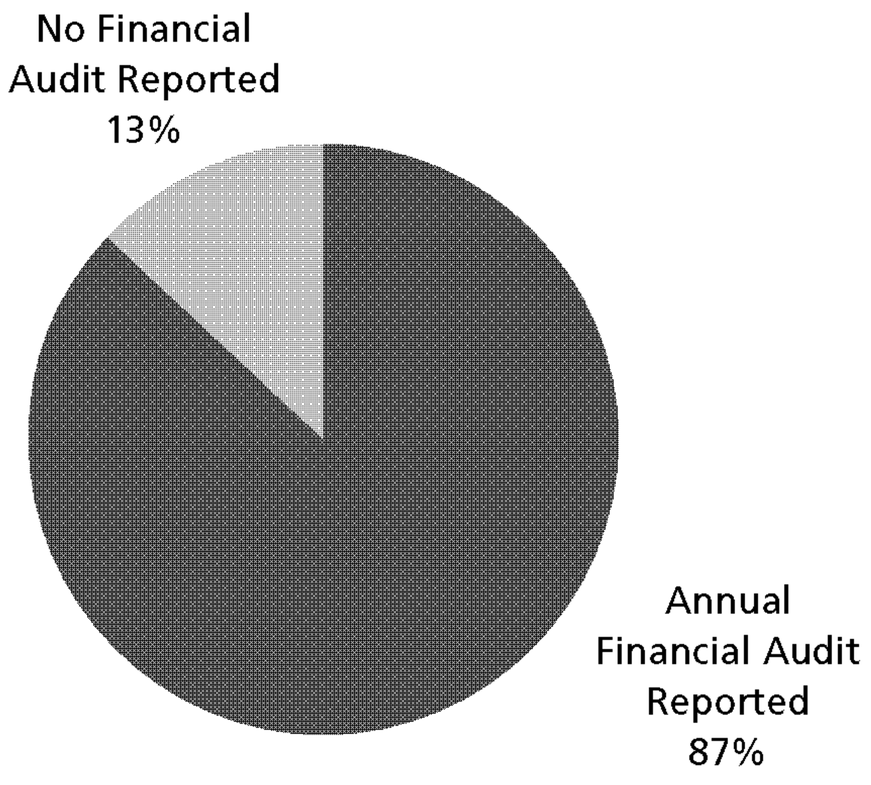
MONITORING STRATEGIES USED	LARGE AUTHORIZERS (%)
Reviews of academic performance reports, financial audits, and other paper-based reports submitted by schools	96
School-site visits performed by our authorizing organization	90
Information from an electronic student data system your organization requires its schools to use	60
Information from an electronic and/or web-based system schools are required to use to provide compliance, fiscal, and other operational reports	54
Compliance reviews by a state agency	52
School-site visits performed by an outside group	33
Compliance reviews by a local agency	15

Table 6: *Financial Reports Required by Large Authorizers*

REQUIRED FINANCIAL REPORTING	LARGE AUTHORIZERS (%)
Annual audits performed by an independent, qualified auditor	87
Annual reports	77
Annual budget projections	64
Quarterly reports	46
Monthly reports	42
No financial reporting required	0

Thirteen percent of large authorizers do not report requiring their schools to submit annual financial audits (Figure 10). Financial audits are necessary to document the fiscal soundness and propriety of independent, publicly funded institutions, especially ones as large and complex as charter schools. In follow-up interviews, respondents that do not require audits offer several explanations. Some authorizers receive audits that are required by state authorities, while others are aware of state requirements but do not report that they review the results of those audits. Other authorizers rely on different financial reporting mechanisms to oversee the financial operations of the schools they charter.

Figure 10: *Percentage of Large Authorizers Requiring Annual Financial Audits*



What actions do authorizers take when charter schools perform unsatisfactorily?

How — and to what extent — large authorizers intervene in the operation of struggling schools varies. As Table 7 shows, the two most frequently reported strategies are providing such schools with written notice of unsatisfactory performance and requiring the submission of a plan for improvement. Roughly half of respondents reported helping schools connect with consultants and other sources of assistance. Other strategies range from sponsoring workshops that school staff members are required to attend to mandating changes in school governance. These latter strategies may decrease the autonomy of a charter school and could inappropriately involve authorizers in making decisions about how a charter school should operate. Experienced authorizers warn that when authorizers recommend specific changes in charter school operations, later efforts to revoke a school's charter may be unsuccessful.

Table 7: Large Authorizers' Intervention Strategies

ACTIONS TAKEN WHEN SCHOOL PERFORMS UNSATISFACTORILY	LARGE AUTHORIZERS (%)
Provide the school, in writing, a description of the unsatisfactory performance	92
Require the school to submit a plan for improvement designed by the school and approved by the authorizer	83
Connect the school with organizations that can help them address the area(s) of concern	52
Deliver support services to the school in the area(s) of concern	48
Connect the school with schools that perform well in the area(s) of concern	40
Provide the school, in writing, suggestions for how to improve	38
Require school staff to attend workshops sponsored by the authorizer	31
Create a plan for improvement in partnership with the school	29
Require changes to the school's board of trustees	25

RENEWAL DECISION MAKING

How many charter schools close each year, and why?

A charter school closes through one of three mechanisms: (1) non-renewal of a school's contract, which happens during the periodic review at or near the end of a charter contract term; (2) revocation of a school's charter by the authorizer, which happens outside the review process and leads to closure sometime during the term of the contract; and (3) voluntary surrender of a charter by school leaders, which can occur at any time and which is often a pre-emptive action taken by school operators facing the likely revocation or non-renewal of their charter. Which mechanism is used, and how often, depends on whether or not a school is up for review.

In 2008-09, 276 charter schools (out of approximately 2,495 total schools in the portfolios of the large authorizers responding to the survey) were reported to be up for renewal. Of those, 23 were closed because authorizers declined to grant their renewal petitions. An additional 17 charters are estimated to have been surrendered during the renewal process. During the same period, large authorizers reported revoking the charters of 18 schools prior to the contracted end of their charter term. An additional 9 schools are estimated to have voluntarily surrendered their charters prior to the contracted end of their charter term.

The closure rate among schools up for renewal is relatively high, with roughly one in seven not surviving the review process by authorizers (Figure 11). The primary reason authorizers report closing schools is inadequate academic performance, rather than financial or compliance-related issues (Figure 12).

By contrast, only a handful of schools (fewer than 2 in 100) are closed by large authorizers outside the renewal process; specifically, through revocation or voluntary surrender of a charter. These closures are more likely to be the result of financial problems rather than sub-par educational performance. Overall, 2.7% of charter schools overseen by large authorizers closed during the 2008-09 school year.

Figure 11: School-Closure Rate Among Large Authorizers, Within vs. Outside the Contract Renewal Process

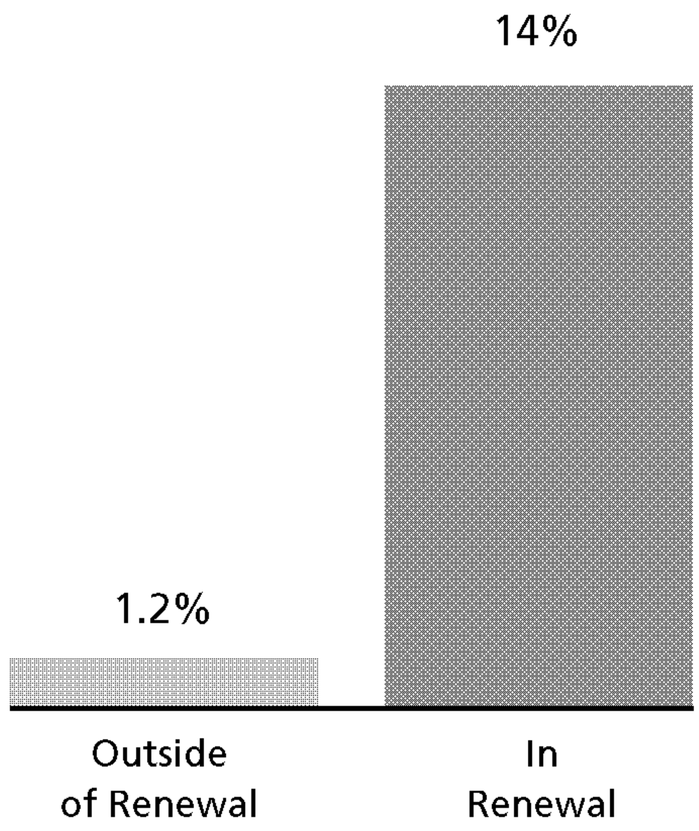
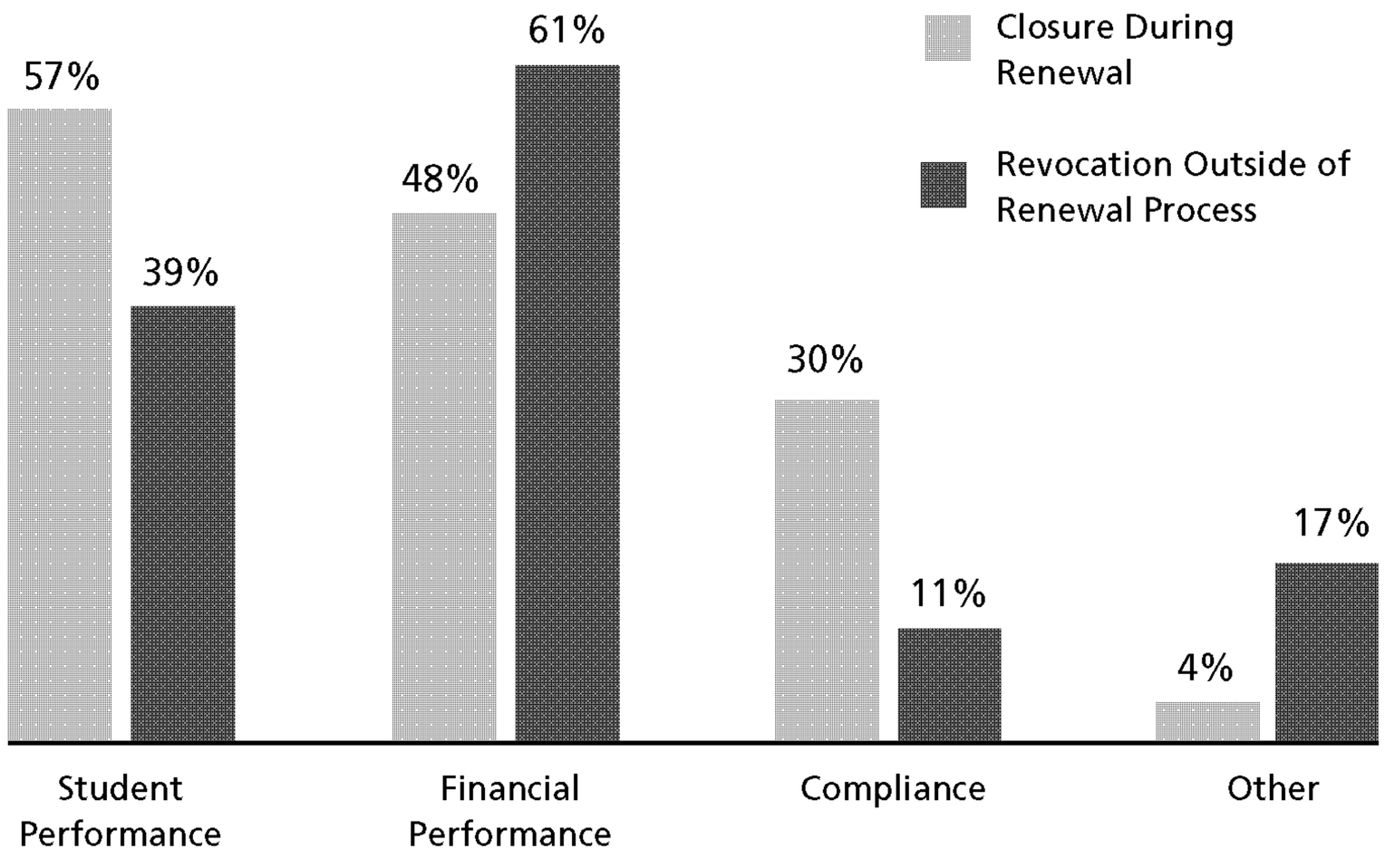


*Figure 12: Primary Reasons for Closure Among Large Authorizers, Within vs. Outside the Contract Renewal Process**



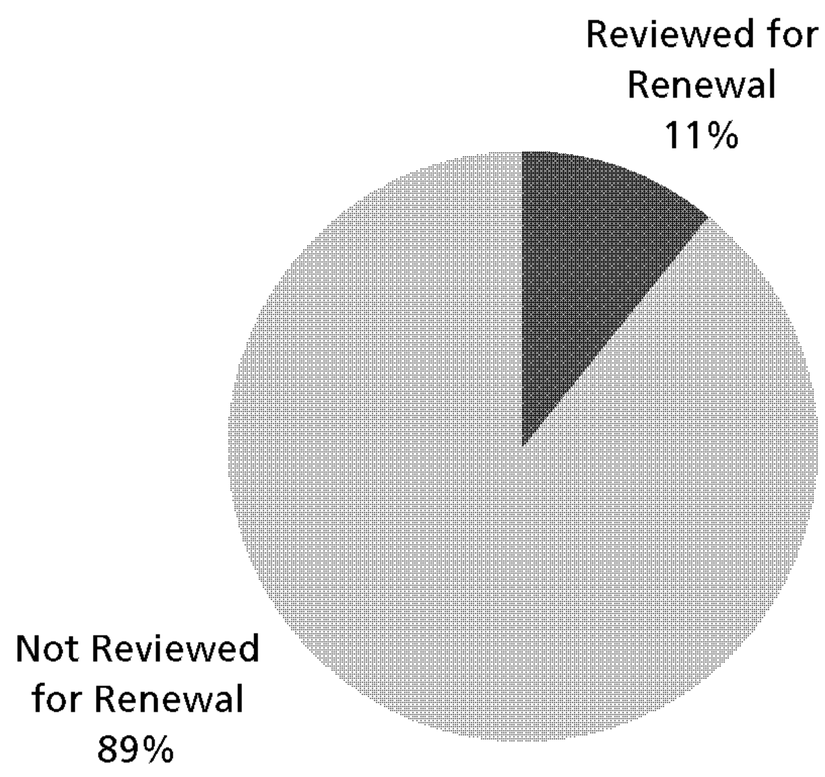
** Note: Respondents could select more than one reason for closure.*

How frequently do authorizers review charter schools' contracts for renewal or non-renewal?

The regular review that occurs during the renewal process — which employs particularly rigorous scrutiny of schools' academic performance — is a key element of quality control in the charter sector. As Figure 13 shows, the survey results revealed that about 11% of charter schools were reviewed.

Among the possible explanations for the rate at which schools are reviewed are that authorizers may be updating charter contracts without a periodic review process, or that charter schools have contracts with longer terms — which is allowed in some states, primarily as a means to increase access to facilities financing. Currently, eight states (Alaska, Arizona, Georgia, Illinois, Michigan, Missouri, Nevada, and New Mexico) and the District of Columbia allow contract terms longer than five years. To ensure that performance meets acceptable standards, charter school contracts should allow for periodic review of a school about once every five years.

Figure 13: *Contract Review Rate of Large Authorizers During 2008-09*

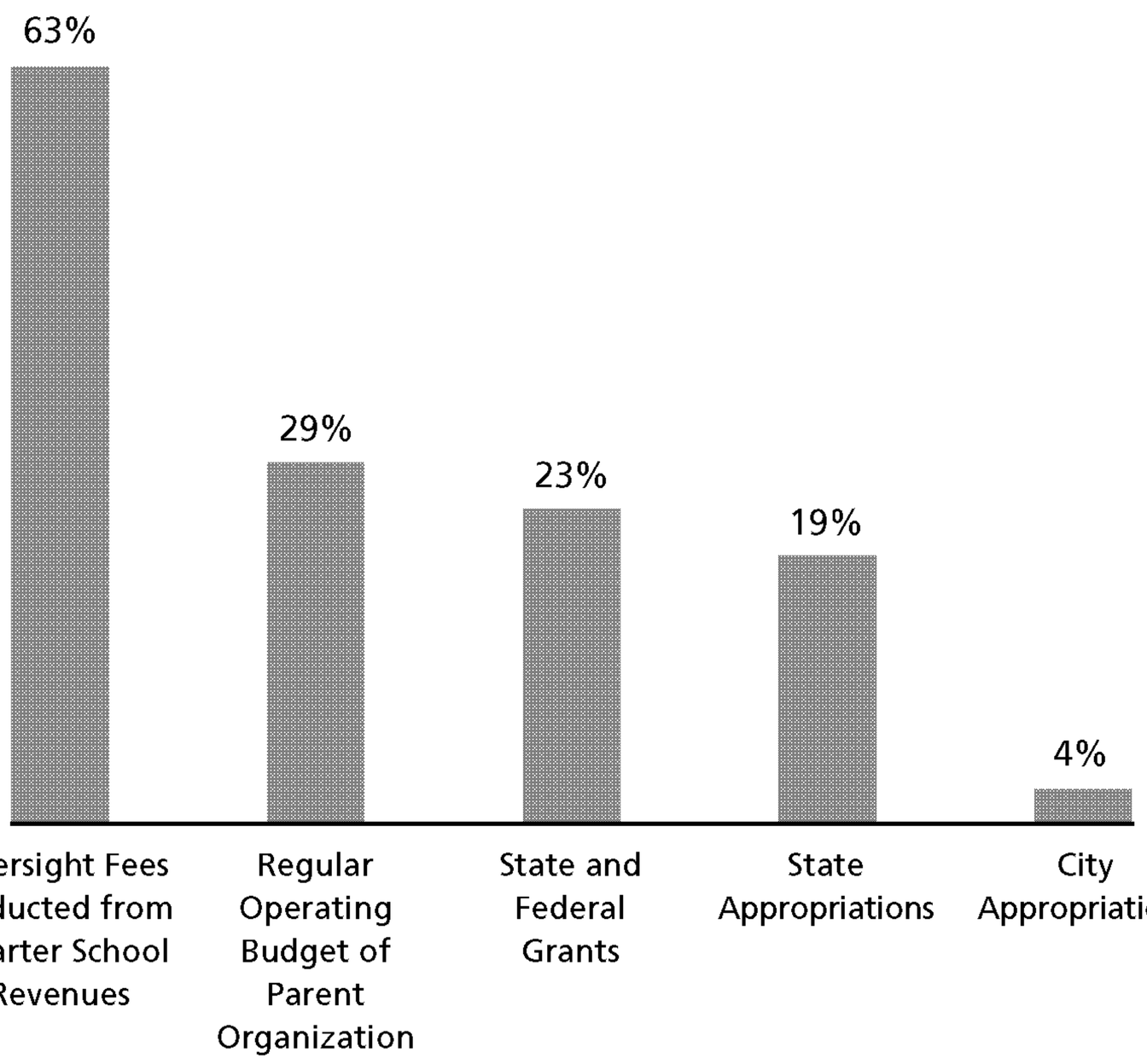


AGENCY CAPACITY AND INFRASTRUCTURE

From what sources do authorizers receive funding? Are funding levels adequate to support their work?

The mechanisms for funding the work of authorizers vary from state to state. Some statutes provide for specific funding mechanisms, such as a percentage of charter schools' revenues; others are silent. As Figure 14 shows, the most frequently cited source of funding for large authorizers in 2008-09 was oversight fees deducted from charter school revenues, followed by the regular operating budget of a parent organization, state and federal grants, state appropriations, and city appropriations.

Figure 14: *Funding Sources of Large Authorizers**



** Note: Respondents could select more than one source of funding.*

The size of oversight fees deducted from charter school revenues by large authorizers varies depending on the type of authorizer (Table 8).

Table 8: Percent of Charter School Revenues Deducted as Oversight Fees by Large Authorizers[10]

TYPE	MEAN (%)	MEDIAN (%)	MINIMUM (%)	MAXIMUM (%)
LEAs	3.2	3.0	1.0	5.0
HEIs	2.6	3.0	1.0	3.0
NFPs	2.1	2.0	1.3	3.0
SEAs	1.7	2.0	1.0	2.0
ICBs	1.5	1.5	0.1	3.0
Overall	**2.7**	**2.8**	**0.1**	**5.0**

"A quality authorizer creates organizational structures and commits human and financial resources necessary for conducting its authorizing duties effectively and efficiently."

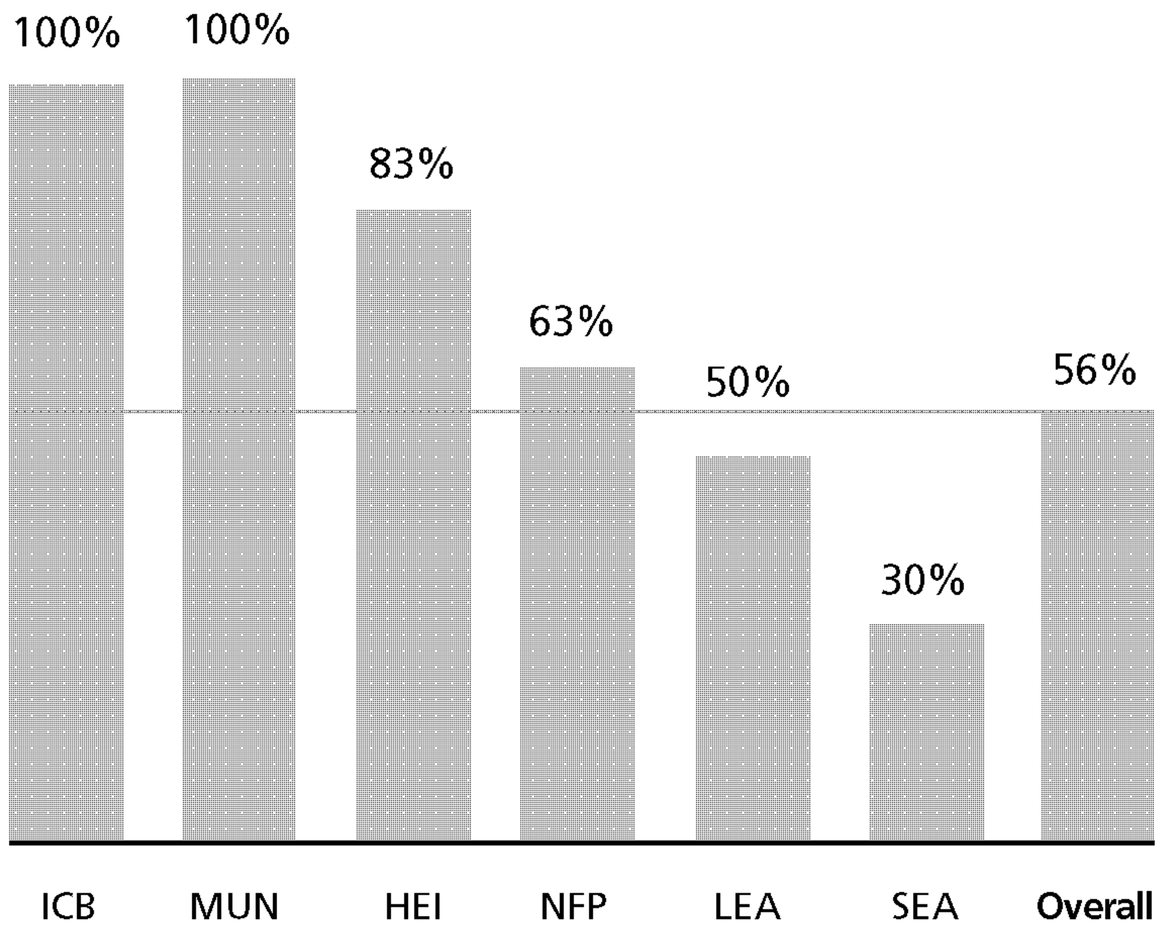
— *NACSA's Principles & Standards for Quality Charter School Authorizing*

Forty-eight percent of large authorizes do not agree that their organization allocates enough resources to fulfill its authorizing responsibilities. One respondent reported that no funds were available specifically for charter school authorizing. No clear consensus has developed about the best way to fund the work of authorizing. Indeed, NACSA believes that each of the various categories of funding has strengths and weaknesses (see *NACSA Policy Guide: Charter School Authorizer Funding,* July 2009).[11] Regardless of whichever method is in place, it is essential that authorizers have adequate resources to perform their duties.

How do authorizers manage and deploy their resources?

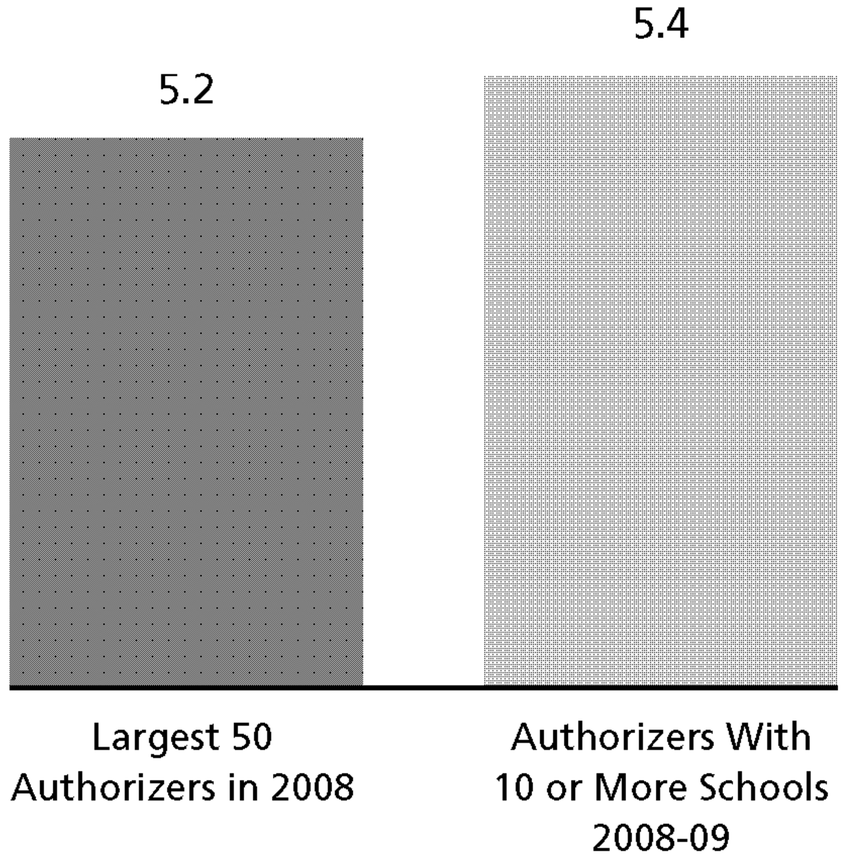
Fifty-six percent of large authorizers reported having a budget dedicated to authorizing duties. As Figure 15 shows, the percentage of large authorizers with such a budget varied widely by type: from MUNs and ICBs (100%) to LEAs (50%) to SEAs (30%). It is fair to interpret these data to indicate that SEAs are least able to provide a dedicated budget to their authorizing activities. Without a dedicated budget for authorizing activities, some SEA authorizers may have to perform their authorizing work as a secondary component to work that is funded through other mechanisms.

Figure 15: Percentage of Large Authorizers with a Dedicated Authorizing Budget



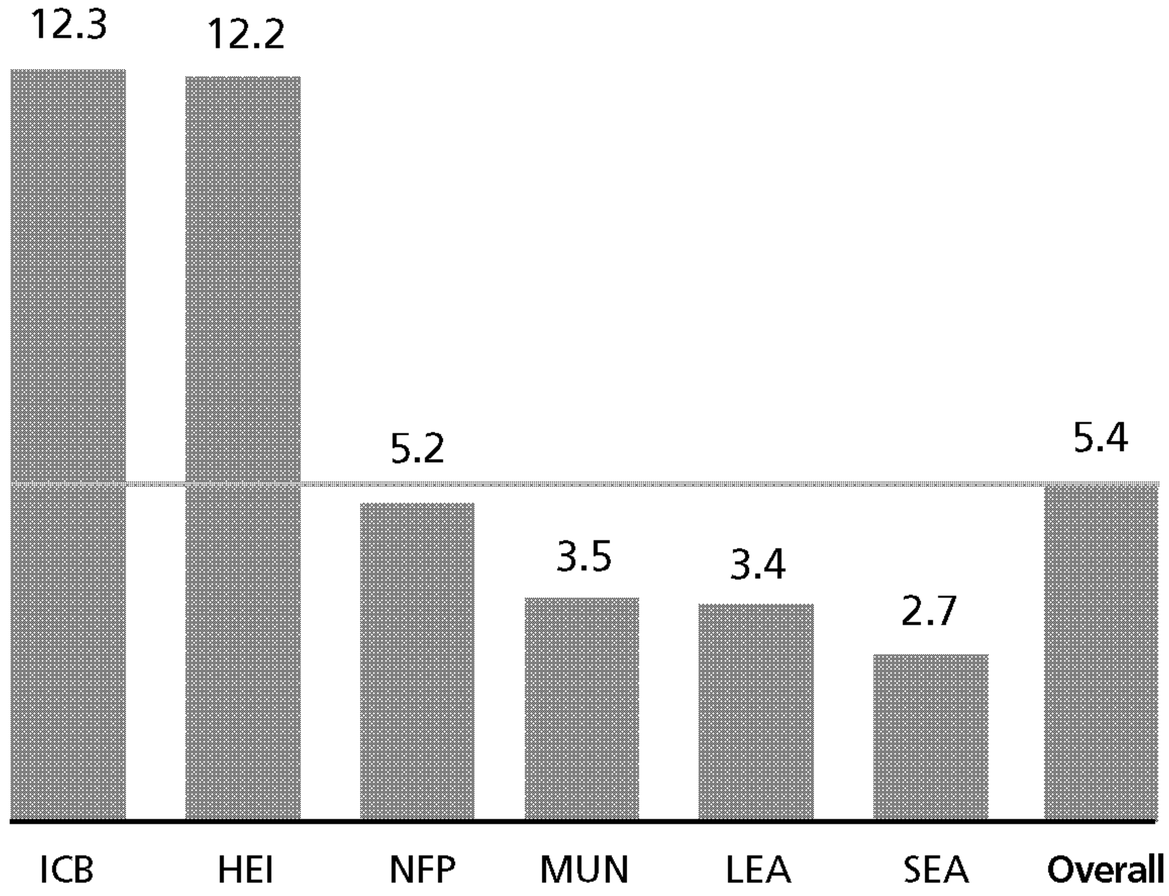
As reflected in Figure 16, the average number of full-time equivalent (FTE) employees assigned exclusively to authorizing work has remained relatively stable from 2007-08 to 2008-09.

Figure 16: Average Number of FTE Staff Assigned Exclusively to Authorizing Work



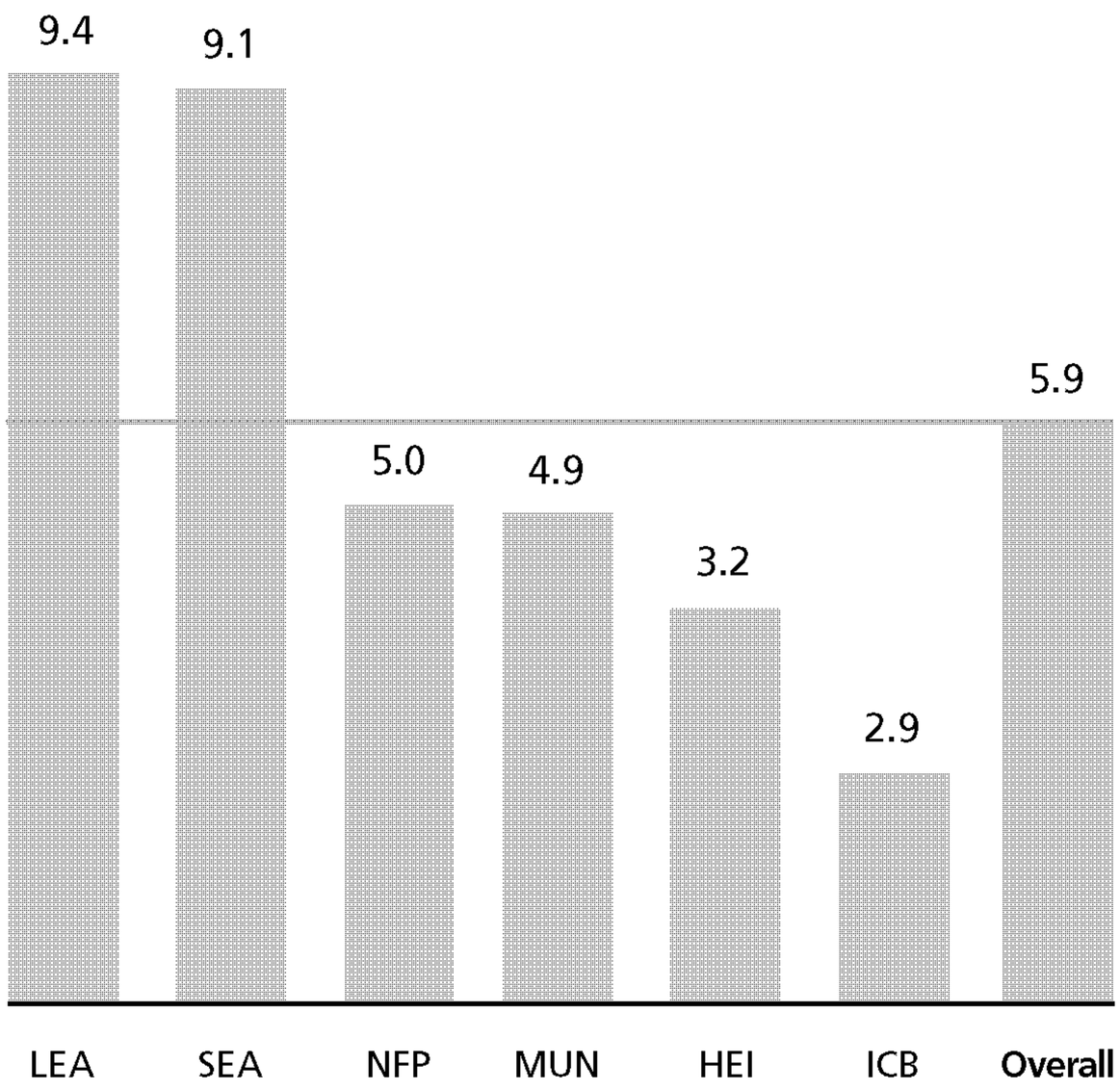
As Figure 17 shows, the average number of FTE staff devoted to authorizing duties varied from 12 (HEIs and ICBs) to 5 (NFPs,) and about 3 (LEAs, MUNs, and SEAs).

Figure 17: Average Number of FTE Staff Assigned Exclusively to Authorizing Work by Type of Authorizer



In addition to examining the number of FTE staff by type of authorizer, it is also important to examine the number of FTE staff in relationship to the number of schools overseen. Among large authorizers, the average number of charter schools per authorizing FTE was 1 FTE for every 5.9 schools (Figure 18). This value ranged from authorizers with no FTE staff assigned exclusively to authorizing duties, to an authorizer with 1 FTE for every 1.14 schools.

Figure 18: *Average Number of Charter Schools Per Authorizing FTE*



DISCUSSION

This section described the practices of large authorizers in detail. Best practices in authorizing, as established by the NACSA *Principles & Standards,* include a variety of tasks and activities, some of which require significant resources as well as the development and application of professional skills and expertise.

Based on their scale and experience, large authorizers should be able to assemble the necessary staff and resources as well as develop formal procedures that allow them to implement best practices. Most large authorizers do implement a broad set of best practices, indicating a growing consensus on the desirability of implementing a core of authorizing activities.

The large authorizers appear to be rigorous in some areas, notably: applying rigorous standards to the review of charter applications, applying standards higher than the state's AYP status as a measure of accountability, and closing a significant percentage of low-performing charter schools when their charter contracts come up for review.

We find in our survey responses, however, that some of the nation's largest authorizers fail to implement key practices. For example, 13% of authorizers do not interview applicants or value interviews as a tool to judge applicants; 52% do not use external panels of experts to review charter applicants; 10% do not enter into formal contracts with each of their schools; and 13% do not require each school to conduct an annual financial audit and file it with them.

Some of the variation in the large authorizers' ability to implement best practices may be based on the resources they dedicate to authorizing activities. Forty-three percent of large authorizers report that they have too few resources dedicated to authorizing, and SEAs appear to be the most poorly staffed and severely under-resourced of the large authorizers. Of the different types of large authorizers, SEAs most frequently fail to implement best practices.

Section 3: Comparing Large and Small Authorizers

The size of an authorizer's portfolio creates a context for the work of authorizing and affects the total resources an authorizer can dedicate to this work. Differences in portfolio size may also generate specific challenges that lead to different practices and policies among authorizers.

The following analysis outlines similarities and differences between the survey responses of large authorizers — those that oversee 10 or more schools — and small authorizers that oversee fewer than 10 schools. Appendix B provides a complete set of data tables comparing large and small authorizers.[12]

This section is organized by the main areas of *NACSA's Principles & Standards of Quality Charter School Authorizing,* which address issues that arise during the life cycle of charter schools, from the application process and performance contracting to ongoing monitoring/evaluation, renewal decision making, and the resources and staffing of authorizers.

It is important to note that this survey intentionally oversampled large authorizers, while the percentage of small authorizers responding to the survey was limited. Differences reported below are primarily of interest as indications of topics that would benefit from further study.

APPLICATION PROCESS

In 2008-09, large authorizers reported receiving more applications than small authorizers. The average large authorizer received 13.5 applications during that year, compared to 2.6 applications for the average small authorizer.

Large authorizers are more likely than small authorizers to issue requests for applications and publish timelines and other application-related material. Large authorizers are more than twice as likely as small authorizers to use external expert panels to review applications. There is little difference between large and small authorizers in the transparency of their application review processes. Similar proportions of large and small authorizers report publishing their standards and using similar standards to review all applicants. They are also similar in their application approval rates.

Table 9: *Characteristics of the Application Process*

APPLICATION PROCESS	SMALL AUTHORIZERS (%)	LARGE AUTHORIZERS (%)	OVERALL (%)
Authorizer uses an external panel of experts to review new charter applications.	23	48	35
Authorizer publishes timelines and materials for application submission, review and approval.	76	94	85
Application evaluation criteria are available to applicants.	86	88	87
Authorizer uses the same criteria when evaluating all applications.	95	94	94
Authorizer requires interviews and finds them important.	91	87	89

One hundred percent of small authorizer respondents reported entering into contracts with their schools, whereas 10% of large authorizers reported not doing so. Large and small authorizers reported a comparable list of contract elements, and they prioritized those issues similarly as well. Small authorizers reported including language in contracts about the criteria and processes for intervening in a school's operations more frequently than large authorizers did.

Table 10: *Reported Contents of Legal Agreements with Charter Schools*

CONTENTS OF CONTRACTS	SMALL AUTHORIZERS (%)	LARGE AUTHORIZERS (%)	OVERALL (%)
School AYP performance	87	79	83
Criteria and processes for intervening in a school's operations	85	77	81
A requirement for a governing board with legally valid bylaws	96	90	93
Student academic performance on goals compared to other schools	73	78	75
Performance toward fiscal goals	82	86	84
Specific milestones schools must meet prior to opening doors	82	86	84
Performance goals on status assessments	84	82	83
Waivers from traditional public school laws and regulations	69	67	68
Performance goals of student academic measures using growth data	83	84	84
Performance toward organizational goals	83	82	83
Performance goals on evidence-based special measures	81	80	80

ONGOING OVERSIGHT AND EVALUATION

Large and small authorizers are similar in the extent to which they monitor: student performance status and growth, comparisons to similar schools, Adequate Yearly Progress (AYP) status, and performance on school-specific measures. Large and small authorizers also report similar approaches to monitoring organizational goals, fiscal performance, and compliance with state and federal regulations.

Large authorizers are more likely than small authorizers to support renewal criteria that are higher than AYP. Forty percent of large authorizers support setting renewal criteria higher than AYP, compared to 25% of small authorizers that report doing so.

Table 11: *Adequate Yearly Progress (AYP) and Renewal Criteria*

STATEMENT COMPLETION: AUTHORIZER SHOULD SET RENEWAL CRITERIA THAT:	SMALL AUTHORIZERS (%)	LARGE AUTHORIZERS (%)	OVERALL (%)
Are higher than AYP	24.5%	40.4%	32.0%
Are the same as AYP	41.5%	36.2%	39.0%
Could be lower than AYP	17.0%	8.5%	13.0%
Do not use AYP	17.0%	14.9%	16.0%
Total	**100%**	**100%**	**100%**

Small authorizers are more likely than large authorizers to provide multiple services to schools. In some cases services may be required by law, such as special education services that must be provided by Local Education Agency (LEA) authorizers. Small authorizers, which are predominately LEAs, are thus more likely to be legally responsible for special education services than large authorizers are. As they bear the legal responsibility if special education services are found to be out of compliance with requirements, many LEAs insist on being involved in the design and provision of special education services delivered at the charter schools they oversee.

Table 12: *Services Provided by Authorizers*

SERVICES	SMALL AUTHORIZERS (%)	LARGE AUTHORIZERS (%)	OVERALL (%)
Financial services	66	36	52
Training on improving instruction	89	60	70
Special education services	72	47	60
Data analysis	74	57	66
Special education requirements training	85	71	78

When a school performs unsatisfactorily in a specific area, small authorizers are more likely than large authorizers to provide suggestions for improvement and to create plans for improvement in partnership with the school. Large authorizers are more likely to identify a problem in a struggling school, but less likely to get involved in helping to solve it.

Table 13: *School Interventions*

ACTIONS TAKEN WHEN SCHOOLS PERFORM UNSATISFACTORILY IN ONE OR MORE AREAS	SMALL AUTHORIZERS (%)	LARGE AUTHORIZERS (%)	OVERALL (%)
Provide the school, in writing, a description of the unsatisfactory performance	69	92	80
Create a plan for improvement in partnership with the school	52	29	42
Connect the school with organizations trusted to help them address the area(s) of concern	30	52	40
Require changes to the school's board of trustees	7	25	15

Table 13: *School Interventions...* continued

ACTIONS TAKEN WHEN SCHOOLS PERFORM UNSATISFACTORILY IN ONE OR MORE AREAS	SMALL AUTHORIZERS (%)	LARGE AUTHORIZERS (%)	OVERALL (%)
Connect the school with schools that perform well in the area(s) of concern	23	40	31
Require the school to submit a plan for improvement designed by the school and approved by authorizer	70	83	76
Require the school to attend workshops held by authorizer	18	31	24
Provide the school, in writing, suggestions for how to improve	49	38	44
Deliver support services to the school in the area(s) of concern	56	48	52

RENEWAL DECISION MAKING

In 2008-09, small authorizers reported a greater percentage of the schools in their portfolio reviewed for renewal (25%) than did large authorizers (11%).

Large and small authorizers reported similar priorities in judging renewal decisions for their charter schools across a wide variety of topics. The rate at which they review schools for renewal or non-renewal varies, as does the extent to which school closures are likely to occur during the renewal process (rather than at some other point in the life cycle of a school).

Small authorizers are more likely than large authorizers to close schools by a means outside of the renewal process. In addition, the closure rates by means both outside of and during the renewal process are nearly the same among charter schools overseen by small authorizers, whereas large authorizers display large differences in the closure rate depending on whether a school is up for review.

Table 14: *School Closure Rate, Within vs. Outside the Renewal Process*

SCHOOL CLOSURE RATE	SMALL AUTHORIZERS (%)	LARGE AUTHORIZERS (%)	OVERALL (%)
Outside of renewal	5	1	2
During renewal	6	14	13

AGENCY CAPACITY AND INFRASTRUCTURE

The average large authorizer assigns 5.4 total full-time equivalent (FTE) staff to authorizing work, whereas the average small authorizer assigns one FTE. Large and small authorizers report similar staffing levels when measured as a rate of FTE per school they oversee — about .2 FTEs per school.

Large authorizers are slightly more likely than small authorizers to deduct oversight fees from charter school revenues (63% vs. 54%, respectively). Small authorizers report charging higher oversight fees — an average of 3.9% compared with an average of 2.7% for large authorizers.

Large authorizers are about twice as likely as small authorizers to report having a budget dedicated to authorizing activities. Fifty-six percent of large authorizers report having dedicated funds for authorizing, compared to 30% of small authorizers. Large authorizers are also more likely to draw on federal or state grants to support authorizing, while small authorizers are more likely to draw on funds from their parent organization.

Table 15: *Sources of Authorizers' Funding* *

SOURCES OF FUNDING	SMALL AUTHORIZERS (%)	LARGE AUTHORIZERS (%)	OVERALL (%)
Oversight fees deducted from charter school revenues	54	63	58
Operating budget of parent organization	44	29	37
State appropriations	16	19	18
State and federal grants	7	23	14

** Note: Respondents could select more than one source of funding.*

DISCUSSION

The differences between large and small authorizers reflect expected differences in capacity as well as differences due to the LEA status of many small authorizers. However, as the next two sections will show in some detail, neither LEA status nor portfolio size alone accounts for all the differences in practices.

Generally, large authorizers are more likely to proactively publish requests for applications and to employ expert external panels in reviewing charter applications. Almost all small authorizers report entering into contracts, whereas several large authorizers report not using contracts with their schools. Most of those that fail to use contracts are SEAs, which are described more in Section 5. Large authorizers also support applying higher academic standards to their schools than do small authorizers, although both large and small authorizers tend to include a similar list of items in their contracts.

Small authorizers provide more direct services to charter schools, which could be partially explained by the proportion of districts that appear to be more directly involved in, and responsible for, the operations of the schools they oversee. When schools struggle, the large authorizers, including large districts, are more likely to stop their interventions at the point of identifying problems that schools must figure out how to fix on their own, whereas small authorizers are more likely to get involved in decisions about what a struggling school should do to improve.

As for high-stakes renewal decisions, some of the largest authorizers review their schools less frequently than do small authorizers. In fact, some of the largest authorizers reviewed no schools during the 2008-09 school year. But when schools are up for review at the end of their charters, large authorizers are more likely to close schools than small authorizers.

As expected, large authorizers enjoy a resource advantage for authorizing activities. They have more total staff and resources, more dedicated budgets, and more diverse sources of funding than do small authorizers. The notable exceptions are SEAs, which report a lack of dedicated resources and staff more often than other large authorizers.

Section 4: Comparing District and Non-district Authorizers

This section compares district and non-district charter school authorizers. For the purposes of this discussion, non-district authorizers include independent chartering boards (ICBs), higher education institutions (HEIs), state education agencies (SEAs), non-profit organizations (NFPs), and mayors/municipalities (MUNs). While most small authorizers described in the previous section are local education agencies (LEAs), many district authorizers oversee large portfolios and there are also many non-district authorizers that oversee small portfolios.

School district authorizers operate in a different context from other types of authorizers. Unlike many other types of authorizers, their charter schools are contained in a distinct geographic location and are typically a small component of their school portfolios. These factors may generate specific conflicts and challenges that lead to the implementation of different authorizing practices. Despite these factors, district and non-district authorizers are similar in many respects.

The following analysis outlines similarities and differences between the survey responses of district and non-district authorizers. Appendix C provides a complete set of data tables comparing the two groups.[13]

APPLICATION PROCESS

District authorizers are slightly less likely than non-district authorizers to publish timelines and materials for application submission, review, and approval (80% vs. 91%, respectively), but more likely to make the application evaluation criteria available to applicants (92% vs. 80%, respectively). District authorizers are considerably less likely than non-district authorizers to use external panels of experts to review new charter applications.

Table 16: *Characteristics of the Application Process*

APPLICATION PROCESS	NON-DISTRICT AUTHORIZERS (%)	DISTRICT AUTHORIZERS (%)	OVERALL (%)
Authorizer uses an external panel of experts to review new charter applications.	50	24	35
Application evaluation criteria are available to applicants.	80	92	87
Authorizer publishes timelines and materials for application submission, review, and approval.	91	80	85
Authorizer uses the same criteria when evaluating all applications.	95	94	94
Authorizer requires interviews and finds them important.	89	89	89

In 2008-09, the average non-district authorizer received more applications than the average district authorizer — an average of 10.8 applications for non-district authorizers compared to an average of 5.2 applications for district authorizers. District and non-district authorizers report similar application approval rates (Table 17).

Table 17: *Application Approval Rate, 2008-09 School Year*

	NON-DISTRICT AUTHORIZERS (%)	DISTRICT AUTHORIZERS (%)	OVERALL (%)
Average Approval Rate	38	40	39

The 2009 authorizer survey included a number of questions about the values and priorities of authorizers in application evaluation. Overall, non-district authorizers and district authorizers appear to share the same values in this area.

Table 18: *Average Rated Importance of Application-Related Factors, on a Scale of 1 (Not Important/Not Required) to 5 (Very Important)*

APPLICATION PROCESS	NON-DISTRICT AUTHORIZERS	DISTRICT AUTHORIZERS	OVERALL
Interview	4.1	3.7	3.9
Composition of proposed governing board	4.4	4.1	4.2
Organizational structure	4.2	4	4.1
Facilities plans	4	4.1	4.1
Likelihood of success of proposed academic program	4.8	4.7	4.7
Academic success/financial viability of proposed education service provider	4.6	4.5	4.6
Financial viability of the school's business plan	4.8	4.7	4.7
Evidence of demand	4.1	4.1	4.1
Plan for using assessments to measure student progress	4.5	4.5	4.5

PERFORMANCE CONTRACTING

Ninety-eight percent of responding district authorizers report signing legal agreements with their charter schools, compared to 91% of non-district authorizers. District and non-district authorizers address similar topics in their legal agreements, although district authorizers are less likely than non-district authorizers to include in their contracts performance goals on student academic measures that use growth data. District authorizers are also less likely to report including specific milestones that new charter schools must achieve prior to opening.

Table 19: *Reported Contents of Legal Agreements with Charter Schools*

CONTENTS OF CONTRACTS	NON-DISTRICT AUTHORIZERS (%)	DISTRICT AUTHORIZERS (%)	OVERALL (%)
Performance goals on student academic measures using growth data	89	79	84
Specific milestones schools must meet prior to opening doors	89	80	84
Performance standards that provide the basis for renewal decisions based on state, federal, and charter requirements	91	86	89
Criteria and processes for intervening in a school's operations	84	79	81
Student academic performance on goals compared to other schools	73	77	75
Performance goals on evidence-based special measures	83	79	80
Performance toward organizational goals	85	81	83
Performance toward reporting and compliance requirements	96	92	93
Requirement for a governing board with legally valid bylaws	91	95	93
Waivers from traditional public school laws and regulations	70	67	68
Definition of and procedure for contract amendment and dispute resolution	93	90	91
Performance goals on status assessments	84	82	83
Performance toward fiscal goals	85	83	84
Expectations for compliance with procedural requirements of relevant federal programs	94	93	93
School AYP performance	83	83	83

District authorizers appear to support lower academic standards than non-district authorizers for their charter schools. Non-district authorizers are more likely than district authorizers to support criteria that are higher than Adequate Yearly Progress (AYP). Forty-nine percent of non-district authorizers support higher standards, compared to 18% of district authorizers.

Table 20: *AYP and Renewal Criteria*

STATEMENT COMPLETION: AUTHORIZER SHOULD SET RENEWAL CRITERIA THAT:	NON-DISTRICT AUTHORIZERS (%)	DISTRICT AUTHORIZERS (%)	OVERALL (%)
Are higher than AYP	49	18	32
Are the same as AYP	24	51	39
Could be lower than AYP	11	15	13
Do not use AYP	16	16	16
Total	**100**	**100**	**100**

ONGOING OVERSIGHT AND EVALUATION

District and non-district authorizers are similar in the extent to which they monitor a wide range of topics, including student performance on status measures, student academic growth, comparisons to similar schools, AYP, and performance on school-specific measures.

Non-district authorizers are more likely than district authorizers to monitor both fiscal goals and performance toward reporting and compliance goals more than once a year. Sixty-three percent of non-district authorizers report monitoring fiscal goals more than once a year, while 52% of district authorizers report doing so. Performance toward reporting and compliance goals is monitored more frequently than annually by 56% of non-district authorizers and 43% of district authorizers.

As the following two tables show, district authorizers are more likely than non-district authorizers to provide multiple services to charter schools, and are also more likely to report providing a wide range of facilities assistance to schools. As described in Section 3, the legal context of special education delivery and responsibility is prescribed by a charter school's status as either an LEA or a school within a larger LEA. When districts act as authorizers, under most circumstances the resulting schools are legally part of the district's LEA for purposes of special education provision. Schools authorized by non-district authorizers are generally treated as their own LEA for special education provision purposes.

Table 21: *Services Provided by Authorizers*

SERVICES	NON-DISTRICT AUTHORIZERS (%)	DISTRICT AUTHORIZERS (%)	OVERALL (%)
Special education services	23	88	60
Transportation	7	50	31
Financial services	28	70	52
Data analysis	47	81	66
Training on improving instruction	59	88	75
Special education training	62	91	78
Board governance training	62	40	50
Data analysis training	63	84	75
Financial training	64	72	69
Compliance/legal training	61	58	59

Table 22: *Facilities Assistance Provided to Schools*

FACILITIES-RELATED ASSISTANCE	NON-DISTRICT AUTHORIZERS (%)	DISTRICT AUTHORIZERS (%)	OVERALL (%)
Facilities	9	42	27
Assistance in finding facilities	13	53	36
Per-pupil allocation for facilities expenses	7	31	20
Financing for facilities (grants, loans, and guarantees)	9	16	13

When a school performs unsatisfactorily in a specific area, district authorizers are more likely to create a plan for improvement in partnership with the school. Non-district authorizers are more likely to provide the school with a written description of the unsatisfactory performance, require the school to submit a plan for improvement designed by the school, and connect the school with trusted organizations to help address the problem. Non-district authorizers are also more likely than district authorizers to require changes to an underperforming school's board of trustees.

Table 23: *School Interventions*

ACTIONS TAKEN WHEN SCHOOLS PERFORM UNSATISFACTORILY IN ONE OR MORE AREAS	NON-DISTRICT AUTHORIZERS (%)	DISTRICT AUTHORIZERS (%)	OVERALL (%)
Connect the school with organizations trusted to help them address the area(s) of concern	54	29	40
Create a plan for improvement in partnership with the school	29	51	42
Provide the school, in writing, a description of the unsatisfactory performance	92	71	80
Require changes to the school's board of trustees	27	6	15
Require the school to submit a plan for improvement designed by the school and approved by authorizer	88	68	76
Require the school to attend workshops held by authorizer	27	22	24
Deliver support services to the school in the area(s) of concern	50	54	52
Provide the school, in writing, suggestions for how to improve	46	43	44
Connect the school with schools that perform well in the area(s) of concern	31	31	31

RENEWAL DECISION MAKING

In 2008-09, district authorizers reported reviewing a greater percentage of their charter school portfolio (18%) than did non-district authorizers (9%).

District authorizers are more likely than non-district authorizers to decline to renew a charter school. District authorizers declined to renew 16% of their schools up for review while non-district authorizers declined to renew 8% of their schools up for review. Closure rates outside of renewal are nearly identical, and both low, for district and non-district authorizers.

Table 24: *School Closure Rate, Within vs. Outside the Renewal Process*

SCHOOL CLOSURE RATE	NON-DISTRICT AUTHORIZERS (%)	DISTRICT AUTHORIZERS (%)	OVERALL (%)
Outside of renewal	2	1	2
During renewal	8	16	13

AGENCY CAPACITY AND INFRASTRUCTURE

District and non-district authorizers report different staffing levels both in terms of number of full-time equivalent (FTE) staff assigned exclusively to authorizing work and the number of charter schools per FTE.

Table 25: *Staff Assigned to Authorizing Work*

STAFFING	NON-DISTRICT AUTHORIZERS	DISTRICT AUTHORIZERS	OVERALL
Average number of FTE employees assigned exclusively to authorizing work	4.9	1.4	2.9
Average number of schools per FTE	3.8	7.6	5.3

Non-district authorizers are nearly three times as likely as district authorizers to report having a budget dedicated to authorizing activities. Sixty-seven percent of non-district authorizers report having dedicated authorizing budgets, compared to 23% of district authorizers.

District and non-district authorizers are equally likely to use oversight fees deducted from charter school revenues as a source for funding authorizing activities (58% of authorizers of either type). District authorizers report a higher average oversight fee (4%) than do non-district authorizers (2.2%). District authorizers are more likely than non-district authorizers to report their parent organization's regular operating budget as a source of funding for authorizing. Non-district authorizers are more likely to report using state and federal grants to support authorizing activities.

Table 26: *Sources of Authorizers' Funding**

SOURCE	NON-DISTRICT AUTHORIZERS (%)	DISTRICT AUTHORIZERS (%)	OVERALL (%)
Oversight fees deducted from charter school revenues	58	58	58
State appropriations	27	11	18
Operating budget of parent organization	21	49	37
State and federal grants	23	8	14

** Note: Respondents could select more than one source of funding.*

DISCUSSION

There are important similarities and differences between district authorizers and non-district authorizers. In general, district authorizers appear to share values with non-district authorizers about what is important in a charter application or renewal decision, but districts appear to apply fewer resources to authorizing work. District authorizers are much less likely than non-district authorizers to use external panels of experts to review applications. However, district authorizers contract with almost all of their schools and are more likely to include a long list of requirements in their contracts.

District authorizers do not appear as distinct from non-district authorizers in terms of the rates at which they approve applications. However, they do close schools that are up for review more often than non-district authorizers do.

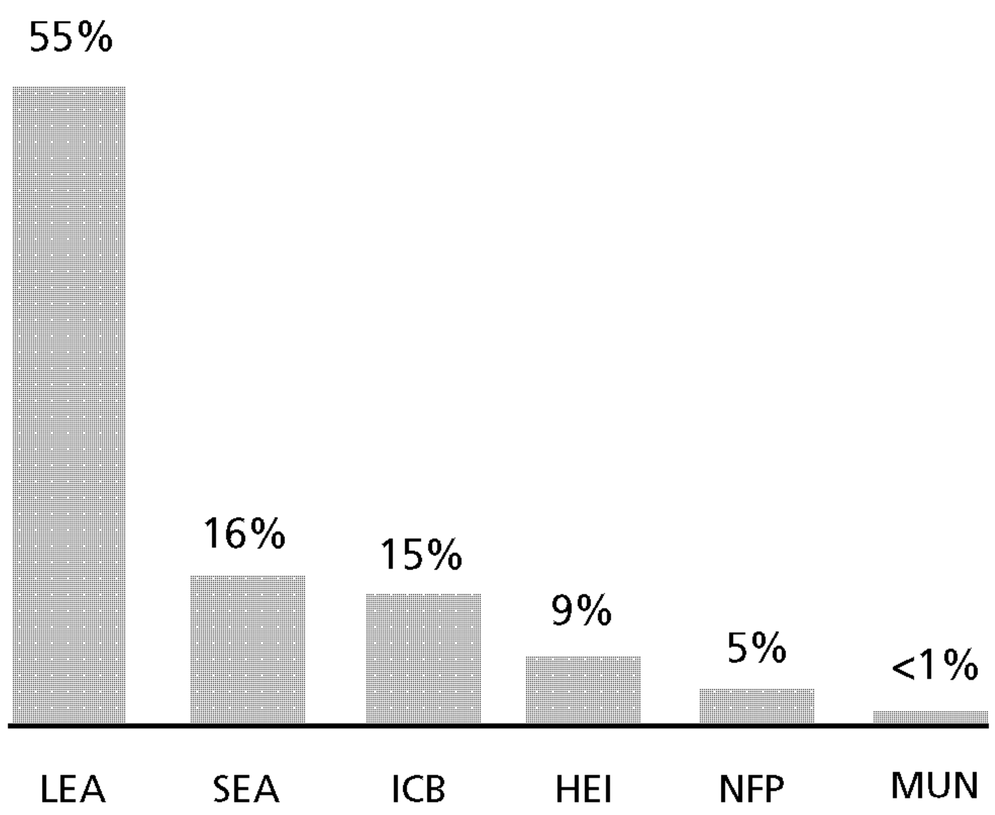
District authorizers, more than non-district authorizers, appear to treat their charter schools more like traditional public schools. Evidence of this includes a higher frequency of district authorizers providing services directly to schools than do non-district authorizers. When schools struggle, district authorizers are more likely to employ interventions that allow themselves to directly shape actions in the school or influence decisions about what should be done to improve the school's operations. They are less likely to support academic standards for charter schools that go beyond state AYP requirements than are non-district authorizers.

The district authorizer practices described above collectively undermine the autonomy of their charter schools. As they do with the non-charter schools they operate directly, district authorizers are less likely than are non-district authorizers to support applying performance standards more rigorous than those required by the state. When a charter school is in trouble, districts appear to feel compelled to help fix it and are also more likely than non-district authorizers to provide either facilities or facilities-related help to their schools.

Section 5: Comparing All Types of Authorizers

This section compares and contrasts responses received from the various types of entities empowered to authorize charter schools. These include school districts, or local education agencies (LEAs); state education agencies (SEAs); higher education institutions (HEIs); non-profit organizations (NFPs); independent chartering boards (ICBs); and mayors/municipalities (MUNs). As discussed in Section 1, LEAs oversee the majority of charter schools in the nation.

Figure 19: Percentage of Charter Schools in the Nation, by Authorizer Type



Authorizer type may significantly impact the context in which charter schools are authorized. Because different types of authorizers face different challenges, we should expect their practices to differ in some respects. Still, many challenges that authorizers face are not unique to type and thus we should expect that authorizers, regardless of type, would employ similar practices to surmount such challenges.

This section outlines similarities and differences in the survey responses of various types of authorizers. Appendix D provides a complete set of data tables comparing their practices.[14] For a description of the distribution of authorizer types in the 2009 survey sample, please refer to Section 1 and Appendix A.[15]

APPLICATION PROCESS

The average number of charter school applications received during the 2008-09 school year varied by type of authorizer. HEIs had the largest average number of applications (15.9) and NFPs had the lowest average number (3.8).

Table 27: Application Rates, 2008-09 School Year

AVERAGE NUMBER OF APPLICATIONS PER AUTHORIZER	HEI	ICB	LEA	MUN	NFP	SEA	OVERALL
	15.9	12.0	5.2	7.0	3.8	11.2	7.6

Authorizers of all types were similar in the level of transparency of their application processes, though NFPs were the least likely to report making evaluation criteria available to applicants. Authorizers vary widely by type in their use of external panels of experts to review charter applications, with 100% of responding ICBs reporting their use, compared to only 24% of LEAs doing the same.

Table 28: *Characteristics of the Application Process*

APPLICATION PROCESS	HEI (%)	ICB (%)	LEA (%)	MUN (%)	NFP (%)	SEA (%)	OVERALL (%)
Authorizer publishes timelines and materials for application submission, review, and approval.	100	100	80	100	64	100	85
Application evaluation criteria are available to applicants.	92	100	92	100	36	92	87
Authorizer uses the same criteria when evaluating all applications.	100	100	94	100	78	100	94
Authorizer uses an external panel of experts to review new charter applications.	50	100	24	50	36	38	35
Authorizer requires interviews and finds them important.	93	80	89	100	100	77	89

Across authorizer types, there were few reported differences in the importance placed on various factors in charter school application evaluation. Authorizers of all types reported the proposed academic program and the financial viability of the charter school's business plan as being among the top considerations when evaluating applications.

Table 29: *Average Rated Importance of Application-Related Factors, on a Scale of 1 (Not Important/Not Required) to 5 (Very Important)*

AREAS IN APPLICATION EVALUATION	HEI	ICB	LEA	MUN	NFP	SEA	OVERALL
Interview	4.2	4	3.7	4	4.6	3.6	3.9
Likelihood of success of proposed academic program	5	4.6	4.7	5	4.6	4.7	4.7
Evidence of demand	4.3	3.6	4.1	4	4.1	4.2	4.1
Plan for using assessments to measure student progress	4.5	4	4.5	4.5	4.8	4.4	4.5
Composition of proposed governing board	4.4	3.8	4.1	4.5	4.6	4.3	4.2
Facilities plans	4.5	4	4.1	3.5	3.9	3.8	4.1
Organizational structure	4.3	3.8	4	4	4.1	4.2	4.1
Academic success/ financial viability of proposed education service provider	4.8	4.4	4.5	5	4.5	4.6	4.6
Financial viability of the charter school's business plan	4.9	4.8	4.7	5	4.8	4.5	4.7

Application approval rates during the 2008-09 school year ranged from the low end of a 23% average approval rate for MUN authorizers to a high of 48% for NFPs.

Table 30: *Application Approval Rate, 2008-09 School Year*

	HEI (%)	ICB (%)	LEA (%)	MUN (%)	NFP (%)	SEA (%)	OVERALL (%)
Average Application Approval Rate	39	32	40	23	48	33	39

PERFORMANCE CONTRACTING

As the following two tables show, SEAs were the least likely to sign contracts with the charter schools they oversee, and the least likely to include many important elements within these contracts. MUNs were less likely than other types of authorizers to report including criteria and processes for intervening in a school's operations.

Table 31: *Use of Legal Agreements*

AUTHORIZER USES LEGAL AGREEMENTS	HEI (%)	ICB (%)	LEA (%)	MUN (%)	NFP (%)	SEA (%)	OVERALL (%)
	100	100	98	100	91	77	95

Table 32: *Reported Contents of Legal Agreements with Charter Schools*

CONTENTS OF CONTRACTS	HEI (%)	ICB (%)	LEA (%)	MUN (%)	NFP (%)	SEA (%)	OVERALL (%)
Performance goals on status assessments	92	100	82	100	100	50	83
Performance goals of student academic measures using growth data	100	100	79	100	91	69	84
Student academic performance on goals compared to other schools	87	83	77	50	73	55	75
School AYP performance	93	83	83	100	90	62	83
Performance goals on evidence-based special measures	93	100	79	100	82	58	80
Performance toward fiscal goals	93	83	83	100	83	75	84
Performance toward organizational goals	87	100	81	100	91	67	83
Performance toward reporting and compliance	100	100	92	100	100	83	93
Waivers from traditional public school laws and regulations	67	100	67	0	82	58	68

Table 32: *Reported Contents of Legal Agreements with Charter Schools*...continued

CONTENTS OF CONTRACTS	HEI (%)	ICB (%)	LEA (%)	MUN (%)	NFP (%)	SEA (%)	OVERALL (%)
Specific milestones schools must meet prior to opening doors	100	83	80	100	100	67	84
Requirement for a governing board with legally valid bylaws	100	100	95	100	92	75	93
Definition of and procedure for contract amendment and dispute resolution	100	100	90	100	100	75	91
Performance standards that provide the basis for renewal decisions based on state, federal, and charter requirements	100	83	86	100	100	75	89
Expectations for compliance with procedural requirements of relevant federal programs	100	100	93	100	100	75	93
Criteria and processes for intervening in a school's operations	93	100	79	50	80	73	81

ONGOING OVERSIGHT AND EVALUATION

Authorizers vary widely by type regarding the importance they place on Adequate Yearly Progress (AYP) when setting renewal criteria. MUNs support renewal criteria that are higher than AYP, while only 18% of the LEAs surveyed reported doing so.

Table 33: *Adequate Yearly Progress (AYP) and Renewal Criteria*

STATEMENT COMPLETION: AUTHORIZER SHOULD SET RENEWAL CRITERIA THAT:	HEI (%)	ICB (%)	LEA (%)	MUN (%)	NFP (%)	SEA (%)	OVERALL (%)
Are higher than AYP	57	50	18	100	36	42	32
Are the same as AYP	21	0	51	0	45	25	39
Could be lower than AYP	14	0	15	0	9	17	13
Do not use AYP	7	50	16	0	9	17	16
Total	**100**	**100**	**100**	**100**	**100**	**100**	**100**

Authorizers of all types report similar rates of monitoring a variety of activities and areas. Student academic performance — whether measured via status assessments, comparisons to other schools, or growth measures — is monitored by authorizers of all types with similar frequency. Fiscal goals are the area most likely to be monitored more frequently than annually, regardless of authorizer type.

Table 34: *Performance Toward Fiscal Goals*

FREQUENCY	HEI (%)	ICB (%)	LEA (%)	MUN (%)	NFP (%)	SEA (%)	OVERALL (%)
Not monitored	7	0	8	0	0	0	6
Monitored at renewal	7	0	2	0	0	8	3
Monitored annually	20	40	38	50	8	58	35
Monitored more than annually	67	60	52	50	92	33	57
Total	**100**	**100**	**100**	**100**	**100**	**100**	**100**

MUNs are less likely than other types of authorizers to provide multiple services to schools.

Table 35: *Services Provided to Schools*

SERVICES	HEI (%)	ICB (%)	LEA (%)	MUN (%)	NFP (%)	SEA (%)	OVERALL (%)
Training on improving instruction	67	60	88	0	67	50	75
Data analysis training	85	80	84	50	45	50	75
Data analysis	67	40	81	50	25	45	66
Financial training	71	80	72	0	67	55	69
Financial services	43	20	70	0	17	30	52
Board governance training	71	60	40	0	83	42	50
Compliance/ legal training	87	60	58	0	45	55	59
Special education training	64	80	91	0	58	67	78
Special education services	14	20	88	0	27	36	60
Transportation	7	0	50	0	0	18	31

When a school performs unsatisfactorily in an area, MUNs and HEIs are the authorizers most likely to provide the school a written description of the unsatisfactory performance. MUNs are more likely to identify a problem, but report taking few actions to solve the problem directly.

Table 36: *School Interventions*

ACTIONS TAKEN WHEN SCHOOLS PERFORM UNSATISFACTORILY IN ONE OR MORE AREAS	HEI (%)	ICB (%)	LEA (%)	MUN (%)	NFP (%)	SEA (%)	OVERALL (%)
Provide the school, in writing, a description of the unsatisfactory performance	100	83	71	100	83	92	80
Provide the school, in writing, suggestions for how to improve	53	33	43	0	58	38	44
Create a plan for improvement in partnership with the school	47	0	51	0	25	31	42
Require the school to submit a plan for improvement designed by the school and approved by authorizer	93	67	68	100	92	85	76
Connect the school with schools that perform well in the area(s) of concern	27	33	31	50	50	15	31

Table 36: *School Interventions...* continued

ACTIONS TAKEN WHEN SCHOOLS PERFORM UNSATISFACTORILY IN ONE OR MORE AREAS	HEI (%)	ICB (%)	LEA (%)	MUN (%)	NFP (%)	SEA (%)	OVERALL (%)
Connect the school with organizations trusted to help them address the area(s) of concern	47	67	29	50	67	46	40
Require the school to attend workshops held by authorizer	13	33	22	0	42	31	24
Deliver support services to the school in the area of concern	60	50	54	0	58	38	52
Require changes to the school's board of trustees	40	33	6	0	17	23	15

RENEWAL DECISION MAKING

During the 2008-09 school year, authorizers varied by type in the percentage of schools in their portfolios that they reviewed for renewal. HEIs reported the highest review rate (20%) and ICBs reported the lowest review rate (<1%).

Table 37: Percentage of Schools Reviewed for Renewal, 2008-09 School Year

OVERALL PERCENTAGE OF SCHOOLS REVIEWED FOR RENEWAL	HEI (%)	ICB (%)	LEA (%)	MUN (%)	NFP (%)	SEA (%)	OVERALL (%)
	20	<1	18	23	17	10	13

Across all types of authorizers, performance toward goals on student academic measures using growth data and performance toward fiscal goals were among the most important considerations in renewal/revocation decisions.

Table 38: *Average Rated Importance of Renewal/Revocation-Related Factors, on a Scale of 1 (Not Important/Not Required) to 5 (Very Important)*

AREAS	HEI	ICB	LEA	MUN	NFP	SEA	OVERALL
Results on "point in time"/status assessments	4.1	3.8	3.8	4.0	4.0	4.0	3.9
Performance toward goals on student academic measures using growth data	4.8	4.3	4.5	5.0	4.5	4.2	4.5
Results of student performance compared to other schools	4.5	3.0	4.2	2.5	3.7	4.2	4.1
School AYP performance	4.1	3.0	4.1	3.5	3.9	3.9	4.0
Performance on evidence-based special measures for mission-specific goals	4.3	3.6	4.0	4.5	3.8	3.4	3.9
Performance toward fiscal goals	4.4	4.0	4.4	4.5	4.4	4.4	4.4
Performance toward organizational goals	4.0	3.4	4.0	3.5	4.0	4.1	4.0
Performance toward reporting and compliance requirements	4.1	4.0	4.3	3.0	4.6	4.4	4.3

Table 38: *Average Rated Importance of Renewal/Revocation-Related Factors, on a Scale of 1 (Not Important/Not Required) to 5 (Very Important)*...continued

AREAS	HEI	ICB	LEA	MUN	NFP	SEA	OVERALL
Responses on parent satisfaction surveys	3.6	2.4	3.5	3.5	3.5	3.1	3.4
Percentage of instructional staff meeting highly qualified teacher requirements in state	4.2	3.2	4.1	3.5	3.7	3.5	3.9
Re-enrollment rate	4.0	3.2	3.6	3.5	3.6	3.1	3.6

AGENCY CAPACITY AND INFRASTRUCTURE

ICBs report the highest average number of full-time equivalent (FTE) employees assigned exclusively to authorizing work (9.7). MUNs report the highest number of schools per FTE (9.7).

Table 39: *Staff Assigned to Authorizing Work*

STAFFING	HEI	ICB	LEA	MUN	NFP	SEA	OVERALL
Average Number of FTE employees assigned exclusively to authorizing work	6.4	9.7	1.4	1.8	3.4	2.5	2.9
Average Number of Schools per FTE	2.7	1.7	7.6	9.7	5.9	9.0	5.3

Among the various types of authorizers, SEAs are the least likely to report relying on oversight fees deducted from charter school revenues to support authorizing activities.

Table 40: *Sources of Authorizers' Funding**

SOURCES OF FUNDING	HEI (%)	ICB (%)	LEA (%)	MUN (%)	NFP (%)	SEA (%)	OVERALL (%)
Oversight fees	80	67	58	50	67	23	58
State appropriations	20	67	11	0	8	38	18
Operating budget of parent organization	7	17	49	50	25	31	37
State and federal grants	0	33	8	0	0	69	14

** Note: Respondents could select more than one source of funding.*

Among those authorizers that rely on oversight fees, a range of fee levels were reported. ICBs reported the lowest average oversight fee (1.6%). LEAs reported the highest average oversight fee (4%).

Table 41: *Average Reported Oversight Fee Deducted from Charter School Revenues*

AVERAGE OVERSIGHT FEE	HEI (%)	ICB (%)	LEA (%)	MUN (%)	NFP (%)	SEA (%)	OVERALL (%)
	2.5	1.6	4.0	2.5	2.2	1.7	3.4

LEAs and SEAs are the authorizer types least likely to report having a budget dedicated to authorizing activities.

Table 42: *Percentage of Authorizers with a Dedicated Budget*

AUTHORIZERS WITH DEDICATED BUDGETS	HEI (%)	ICB (%)	LEA (%)	MUN (%)	NFP (%)	SEA (%)	OVERALL (%)
	93	100	23	100	50	27	41

DISCUSSION

When all the types of charter authorizers are compared, a few observations become apparent regardless of whether an authorizer oversees a large or small portfolio or operates as a school district.

SEAs appear to be operating in a challenging context and some do not employ recommended practices. SEAs apply very few staff or financial resources to their authorizing functions. They are the entities that are least likely to use contracts with their schools, and are also more likely to value standards of academic performance that are not more rigorous than a school's AYP status.

If — as was noted in Section 4 — districts treat charters like other district-run schools, some SEAs appear to treat charter authorizing like another state-run education improvement program, without accommodating the unique nature of the work associated with charter school oversight. When authorizing, the SEA must do more for "its" schools while at the same time interact with these schools while using a mindset outside that of their usual compliance framework.

ICBs have some notable problems as well, which is more problematic given the size of some of their portfolios. For example, some ICBs have a great number of schools in their portfolios, but reported reviewing none of their charters for renewal decisions during 2008-09. These review rates can be tied to state laws with longer-than-usual charter terms that are beyond the control of the authorizing entity. As long as closure rates for schools outside the review process remain around 2% annually, authorizers that do not review their schools' charters for ten or fifteen years are unlikely to purge portfolios of low-performing schools. In the meantime, too many students may spend years attending schools that are not performing at acceptable levels.

As a group, the NFPs appear to have less rigorous application approval processes, as indicated by the relatively high approval rates. Given the changes over time in the approval rates of new charter applications, NFP authorizers appear to be operating about five years behind the times, with approval rates around 50%.

Conclusion

The data gathered from NACSA's 2009 survey of authorizers provides a complex account of the practices of charter school authorizers across the nation and how those practices vary among the different authorizer groups. The similarities among authorizers could indicate a relatively broad and growing consensus regarding appropriate authorizer practices and priorities, at least among large authorizers. The differences between various authorizers' practices, meanwhile, point toward areas where there may be disagreement about how things should be done as well as challenges in implementation. The data reported in the preceding pages suggests many topics for further research.

A minority of authorizers responding to the survey fail to implement practices that could help ensure the quality of the charter schools they oversee. More information is needed to fully understand the circumstances in which these practices are not implemented. Nevertheless, the results of this year's survey reinforce similar findings from the first survey and suggest that a combination of policy changes and technical assistance could help promote practices that should be universally adopted by charter school authorizers.

For example, all charter applicants should be interviewed by authorizers and those interviews should be considered before charters are granted. Based on research into current practices, NACSA has sought to improve practices like these through both technical assistance and changes in policy at the state and federal level. NACSA continues to recommend that:

- All authorizers should ensure the schools they oversee operate under performance contracts that spell out what the school will do, for what it will be held accountable, and autonomies it will enjoy.
- All authorizers should use data from their state accountability systems as the primary measure to evaluate school performance.
- All schools should be required to conduct an annual financial audit and file it with their authorizer.

The data described in this report answer many questions about the practices of charter school authorizers, but many more questions remain. NACSA will continue its research through annual surveys of authorizers and an ongoing effort to update basic information on charter school authorizers. Topics of future data collection and analysis include:

- Clear information on the rates at which authorizers review charter applications, and more details on the reasons for closure and renewal. This analysis should also examine information on the number of charter applications submitted to potential authorizers that have not yet granted a charter.

- More in-depth analysis of areas of authorizer practice that appear to be either surprising or problematic. For example, the topics of interviews, financial audits, and contracts require additional research that examines those authorizer practices in more detail.

- More information on the standards for performance to which authorizers hold their schools. The preliminary information on which authorizers apply standards that are higher than the state's determination of a school's AYP status deserves to be revisited as state and federal accountability systems evolve.

- An investigation of differences in practice between types of authorizers, including a more thorough treatment of the quality of these practices.

In addition to its ongoing efforts to gather annual data on authorizer practice, NACSA plans to pursue additional lines of research including:

- An examination of the role of the various policy and governance structures that affect which entities serve as authorizers and shape how they behave. A more nuanced understanding of the authorizer environments fostered by states will allow NACSA to examine the connections between specific policies and structures, and the practices of authorizers.

- An analysis of the relationships between charter school authorizer practices and charter school performance.

NACSA assumes that charter laws matter, that policies and education reform environments matter, and that many factors influence student performance. But we hope to better understand the connections, if they exist, between the practices and actions of charter school authorizers, the quality of the charter schools they oversee, and eventually the learning that takes place within these schools.

In the meantime, the data presented here are offered to further inform those who study or work in the charter school movement. NACSA would like to thank the charter school authorizers across the nation who responded to this year's survey. Their openness and transparency regarding their policies and practices were essential to the production of this report. Transparency and an emphasis on data are not just necessary for a study such as this, but are hallmarks of quality charter school authorizing as well.

[1] Based on NACSA's most recent data linking each charter school to its authorizer.

[2] http://www.qualitycharters.org/files/public/Principles_and_Standards_2009.pdf

[3] The calculations presented in this section are based on NACSA's most recent data set that links each charter school to its authorizer.

[4] According to data provided by the National Alliance for Public Charter Schools.

[5] 2007-08 authorizers identified by NACSA; the actual number may be higher.

[6] As of January 2010.

[7] These calculations are based on NACSA's most recent data that links each charter school to its authorizer. Precise figures can depend on the time of reporting. Any minor variation due to reporting is unlikely to change any substantive findings in this report.

[8] http://www.edexcellence.net/doc/Gau%20Charter%20AuthorizerV2%20(2).pdf

[9] Application approval rates for "Before 2003" and "In 2005" were reported by The Thomas B. Fordham Foundation in their 2005 report, *Trends in Charter School Authorizing*. The application approval rate for the "Largest 50 Authorizers 2005-08" was reported in 2009 by NACSA in their report, *The State of Charter School Authorizing: A Report on NACSA's 2008 Authorizer Survey*. The application approval rate for "Authorizers with 10 or more schools 2008-09" was calculated from responses to NACSA's 2009 survey of authorizers. Some of the variation in application approval rates over time may be due to differences in the authorizers surveyed across the 3 reports.

[10] When authorizers reported a range of fees, the average of the minimum and maximum fees reported was calculated.

[11] http://www.qualitycharters.org/files/public/Authorizer_Funding.pdf

[12] Available online at www.qualitycharters.org.

[13] Available online at www.qualitycharters.org.

[14] Available online at www.qualitycharters.org.

[15] Available online at www.qualitycharters.org.

APPENDIX II

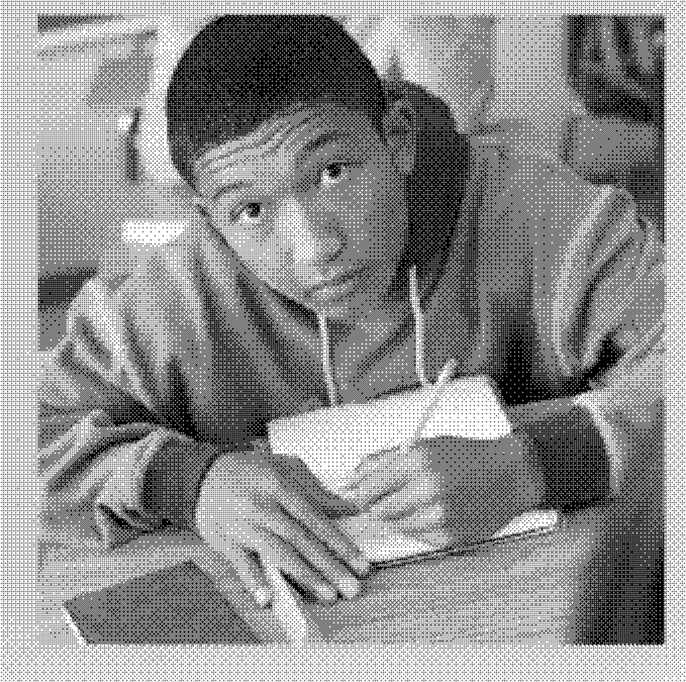
PRINCIPLES AND STANDARDS

National Association of Charter School Authorizers

5/14/2010

Principles & Standards 2009

revised edition



for quality charter school authorizing

nacsa
NATIONAL ASSOCIATION OF CHARTER SCHOOL AUTHORIZERS

PR/Award # U282N100020

Principles
for Quality Charter School Authorizing

The purpose of charter school authorizing is to improve student achievement. A quality authorizer engages in responsible oversight of charter schools by ensuring that schools have both the autonomy to which they are entitled and the public accountability for which they are responsible.

In furtherance of this end, quality authorizers should:

- approach authorizing deliberately and thoughtfully with the intent to improve the quality of public school options;
- support and advance the purposes of charter school law;
- be a catalyst for charter school development to satisfy unmet educational needs;
- strive for clarity, consistency, and transparency in developing and implementing authorizing policies and procedures;
- be a source of accurate, intelligible, performance-based information about the schools that they oversee;
- be responsible not for the success or failure of individual schools, but for holding schools accountable for their performance;
- use objective and verifiable measures of student achievement as the primary measure of school quality;
- support parents and students in making decisions and staying informed about the quality of education provided in charter schools; and,
- make the well-being of students the fundamental value informing all decision-making and actions.

The **Principles for Quality Charter School Authorizing** provide the foundation for the following **Standards for Quality Charter School Authorizing** that link belief to practice.

PR/Award # U282N100020

Standards
for Quality Charter School Authorizing

Agency Capacity

A quality authorizer creates organizational structures and commits human and financial resources necessary for conducting its authorizing duties effectively and efficiently.

A quality authorizer:	
Organizational Structures	Defines external relationships and lines of authority to protect its authorizing functions from conflicts of interest and political influence. Implements plans, policies, and processes that streamline and systematize its work. Is lead by an engaged and knowledgeable governing board with clear lines of authority over key authorizing decisions. Evaluates its work against national standards of quality authorizing.
Human Resources	Enlists competent leadership and content knowledge including education leadership, curriculum and instruction, data analysis, finance, law and non-profit governance and management, through staff, contractual relationships, and/or intra-inter-agency collaborations..
Financial Resources	Determines the financial needs of the office and secures sufficient financial resources to fulfill its authorizing responsibilities adequately. Deploys funds effectively and efficiently.

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Application Process

A quality authorizer implements a comprehensive application process that follows fair procedures and rigorous criteria and grants charters only to those developers who demonstrate strong capacity for establishing and operating a quality charter school.

A quality authorizer:	
Rigorous Criteria	Requires the applicant to provide a clear and compelling mission, a quality educational program, a solid business plan, effective governance and management structures, and evidence of the applicant's capacity to carry out its plan. Is open to considering innovative educational philosophies and approaches. Implements practices that promote growth, expansion and replication of charter schools with demonstrated success.
Charter Decisions	Grants charters only to applicants that have demonstrated the capacity to succeed in all aspects of the school. Documents the factors that determned its decisions about each application. Conducts a thorough evaluation of charter school applications using reviewers with educational, organizational, legal and financial expertise. Makes a separate decision, after the granting of a charter, about a school's readiness to open.
Fair Procedures	Implements a charter application process characterized by realistic and clear timelines, requirements and criteria for content and format ensuring sufficient time for new schools to open. Explains how each stage of the application process is evaluated Communicates chartering opportunities, processes and decisions openly to the public Provides prompt notification of decisions and informs applicants of their rights and responsibilities.

Performance Contracting

A quality authorizer negotiates contracts with charter schools that clearly articulate the rights and responsibilities of each party regarding school autonomy, expected outcomes, measures for evaluating success or failure, performance consequences and other material terms.

A quality authorizer:	
Rights and Responsibilities	Executes contracts that: Document and respect the autonomies to which the schools are entitled – based on statute, waiver, or authorizer policy – including those related to the school's authority over educational program, staffing, finance, and scheduling. Ensure any educational or operational services the authorizer provides for a fee over and above statutorily established rates exist in a separate contractual agreement. Define clear, measurable, and attainable student achievement goals that the school must meet as a condition for renewal including, but not limited to, state accountability standards and set organizational performance goals. Articulate rigorous performance indicators and standards relative to each of the stated goals. Stipulate the process for evaluation, including but not limited to: the types of academic, organizational, financial, and compliance data monitored and used for high stakes decisions, and the process and frequency for gathering and reporting such data. Establish performance thresholds for renewal, intervention, revocation, and non-renewal explaining the consequences for meeting, or failing to meet them. Establishes and explains procedures for renewal, intervention, revocation and non-renewal. Include the statutory, regulatory, and procedural terms and conditions of operation. Document clear expectations for financial and organizational operations, including a requirement for annual audits.
Negotiation	Ensures mutual understanding of the terms of the contract.

Ongoing Oversight and Evaluation

A quality authorizer conducts contract oversight that evaluates performance, monitors compliance, informs intervention and renewal decisions, and ensures autonomy provided under applicable law.

A quality authorizer:	
Autonomy	Respects the school's authority over its day to day operations.
Performance Evaluation	Implements a comprehensive performance accountability system that generates multiple pieces of evidence over the term of a charter sufficient to inform a fair and rigorous renewal decisionmaking process.
Monitors Compliance	Implements a charter school monitoring system that effectively streamlines federal, state and local program performance expectations while protecting the autonomy afforded to schools in statute. Monitors compliance requirements, including those legally mandated and those that are essential to fulfilling the authorizer's public oversight responsibility. Articulates the consequences for failing to meet compliance requirements.
Protects Student Rights	Ensures that schools admit students through a random selection process that is open to all students and does not establish undue barriers to application. Ensures that schools provide students with disabilities with a free, appropriate education in a least restrictive environment. Ensures that schools' student discipline policies and actions are fair and legal and that no student is expelled or counseled out of a school outside of that process.
Intervention	Engages in school intervention strategies that avoid potential conflicts of interest that might overshadow the authorizer's ability to make future high stakes decisions. Provides schools clear, adequate and evidence-based notice of problems. Allows reasonable time for remediation. Makes decisions about whether and how to renew on a clear and consistent basis.

PR/Award # U282N100020

Renewal Decisionmaking

A quality authorizer designs and implements a transparent and rigorous process that uses comprehensive data to make merit-based renewal decisions.

A quality authorizer:	
Merit-Based Decisions	Grants renewal only to schools that achieve the goals and standards identified in the contract, are organizationally and fiscally viable, and have been faithful to the terms of the contract and applicable law. Avoids renewal decisions based on promises of future improvement.
Comprehensive Data	Analyzes and weighs academic, financial and operational data regarding schools' performance over time in relation to the criteria established in the charter contract. Considers multiple sources of data, including state mandated, standardized and internal test data, student academic growth over time, evidence of mission related outcomes, and qualitative reviews to judge school quality. Solicits parent and public input into the charter renewal process as identified in the charter statute.
Transparent Process	Uses defined criteria for renewal included in the charter contract. Regularly updates and annually publishes the process for renewal decision making. Clearly communicates the criteria and consequences available under state law including charter revocation, non-renewal, and renewal. Explains any available rights of appeal, whether to administrative or legal bodies, through which decisions of the authorizer can be challenged.

Adherence to these *Principles & Standards* will guide authorizer practices to ensure that authorizers honor the autonomy of charter schools and hold charter schools accountable for high student achievement.

PR/Award # U282N100020

Who Can Authorize Charter Schools?

State	Year Law Passed	Authorizers
Alaska	1995	LEA
Arizona	1994	LEA, ICB, SEA
Arkansas	1995	SEA
California	1992	LEA, RIA, SEA
Colorado	1993	LEA, ICB
Connecticut	1996	LEA, SEA
Delaware	1995	LEA, SEA
DC	1996	LEA, ICB
Florida	1996	LEA
Georgia	1996	LEA, ICB
Hawaii	1994	SEA
Idaho	1998	LEA, ICB
Illinois	1996	LEA
Indiana	2001	LEA, HEI, MUN
Iowa	2002	LEA
Kansas	1994	LEA
Louisiana	1995	LEA, SEA
Maryland	2003	LEA, SEA
Massachusetts	1993	SEA
Michigan	1993	LEA, RIA, HEI
Minnesota	1991	LEA, RIA, SEA, HEI, NFP
Missouri	1998	LEA, SEA, HEI
Nevada	1997	LEA, SEA
New Hampshire	1995	LEA, SEA
New Jersey	1996	SEA
New Mexico	1993	LEA, SEA
New York	1998	LEA, SEA, HEI
North Carolina	1996	SEA, LEA, HEI
Ohio	1997	LEA, RIA, HEI, NFP
Oklahoma	1999	LEA, HEI
Oregon	1997	LEA, SEA
Pennsylvania	1995	LEA, SEA
Rhode Island	1995	SEA
South Carolina	1996	LEA, ICB
Tennessee	2002	LEA
Texas	1995	LEA, SEA, HEI
Utah	1998	LEA, ICB
Virginia	1998	LEA
Wisconsin	1993	LEA, HEI, MUN
Wyoming	1995	LEA

KEY

LEA	Local Education Agency	ICB	Independent Chartering Board
RIA	Regional/Intermediate Agency	HEI	Higher Education Institution
SEA	State Education Agency	MUN	Municipal Office
		NFP	Not-For-Profit Organization

The above table is intended to give a snapshot, using broad categories, of the types of entities with the authority to approve and oversee charter schools in a given state. Individual state laws may contain provisions that restrict the authority of certain chartering entities. Furthermore, state laws are subject to amendments that may affect the validity of this information in the future. Please consult a given state's charter school law for more detailed information.

PR/Award # U282N100020

APPENDIX III

TEN LEADING AUTHORIZERS – LETTERS OF COMMITMENT

National Association of Charter School Authorizers

5/14/2010

CMU
CENTRAL MICHIGAN UNIVERSITY

May 10, 2010

Mr. Greg Richmond
President and CEO
National Association of Charter School Authorizers
105 West Adams Street, Suite 3500
Chicago, IL 60603

Dear Greg:

Thank you for inviting The Center for Charter Schools at Central Michigan University ("CMU") to be a partner with the National Association of Charter School Authorizers ("NACSA") in a proposal for a federal Charter Schools Program National Activities grant. We are interested in participating, and look forward to learning more about this proposal.

You will find that there is a lot to study at CMU, and that our experience overseeing 58 schools that serve over 30,000 students in urban, suburban and rural communities can be leveraged to drive quality throughout the charter sector. As the nation's first, and largest, university authorizer of charter public schools, CMU has been at work for 15 years to advance authorizing practices that improve performance in charter public schools. For example, through the development of AOIS—a software launched in 2001 to streamline compliance and provide charters with a digital document management system—we have helped strengthen oversight while decreasing the time school leaders spend on reporting, freeing them to focus on their primary mission of educating students. As featured last month in the U.S. Department of Education's publication, *The Education Innovator,* we have also been an early leader in the use of online, computer-adaptive tests that measure student growth, and provide instantaneous feedback to teachers, school leaders, and authorizers.

Today, we are moving these systems forward through scalable and replicable innovations. These include leading-edge use of data analysis; equipping all charter school board members with the tools and support needed to effectively govern their schools; and establishing bold-yet-achievable educational goals to prepare every student for college, work and life. We are also leveraging our experience in launching new schools to help potential applicants understand what it takes to move from dreaming about creating an excellent school, to mastering the myriad details necessary, to successfully apply for and operate a school that serves students well beginning the first day it opens.

Our team is also improving quality throughout the charter sector by working to turn around, and if necessary, close charters that are consistently unable to deliver results for students. Though these decisions are never easy, and no two situations are ever the same, we have developed the

experience, processes, and supports to help those that are willing and able to change do so—as well as to ensure that charters that must be closed are dissolved in such a way that is in the best interest of parents, students and taxpayers.

Because the challenges of improving school performance, replicating success, and closing poor performers are not unique to CMU, we are always pleased to share our experience on these issues to advance our common mission of creating a high-quality school for every student.

Again, thank you for the invitation to participate in this grant proposal. Please do not hesitate to contact me or visit our website at www.thecenterforcharters.org for further information.

Sincerely,

James N. Goenner
Executive Director

CHICAGO PUBLIC SCHOOLS | CPS

OFFICE OF NEW SCHOOLS

Chicago Board of Education

Mary Richardson-Lowry
President

Clare Muñana
Vice President

Board Members:
Norman R. Bobins
Tariq Butt, M.D.
Alberto A. Carrero, Jr.
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Chicago Public Schools

Ron Huberman
Chief Executive Officer

Barbara Eason-Watkins
Chief Education Officer

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Chief Administrative Officer

Office of New Schools

Jaime Guzman
Acting Executive Officer

Jerry L. Cade
Director, Specialized Services

Jennifer Dai
Director, Academic & Operational Evaluation

Beth Heaton
Director, Recruitment & Selection

Claudia Quezada
Director, School Start-Up Services

Greg Richmond
National Association of Charter School Authorizers
105 West Adams Street, Suite 3500
Chicago, Illinois 60603

May 6, 2010

Dear Greg:

I am writing this letter to express interest in participating in the project articulated in NACSA's proposal for a federal Charter Schools Program National Activities grant. The Office of New Schools (ONS), in the Chicago Public Schools (CPS), would be very pleased to support this effort.

CPS authorized the first Chicago charter school in 1997. Since 1997, CPS has authorized over seventy charter school campuses. There are currently twenty-nine charters operating on seventy-one charter campuses in Chicago with thirteen additional campuses set to open this fall. These charter schools collectively serve over 33,000 students across Chicago.

Each year, ONS conducts a rigorous and thorough process for evaluating applications for new and replicating charter schools. In 2009, less than 20% of initial applicants were approved to open a charter school. In addition to a well-developed application process, ONS has in place a very robust performance framework that is used to inform our decisions on renewing charter agreements and if necessary, closing low-performing schools. Since 1997, CPS has closed four charter schools. We hold all charter schools to a high level of accountability in order to ensure the greatest outcomes for students.

As a candidate for Phase I of the proposed project, we understand that this phase would involve studying authorizers who have in place high quality performance management, replication, and closure policies and practices. If the proposal is approved, we would participate in the preliminary review of authorizers. Further, if asked to participate fully in the project, we would comply entirely with the research required at that stage. We are excited for the opportunity to contribute to this valuable project.

Please do not hesitate to contact me if you have any questions, (773) 553-1536.

Sincerely,

Jaime Guzman
Acting Executive Officer
Office of New Schools
Chicago Public Schools

125 S. Clark • Chicago, Illinois 60603
Telephone: 773.553.1530 • Fax: 773.553.1559

DISTRICT OF COLUMBIA
PUBLIC CHARTER SCHOOL BOARD

May 10, 2010

Greg Richmond
Executive Director and CEO
National Association of Charter
School Authorizers
106 West Adams Street, Suite 3500
Chicago, Illinois 60603

Dear Greg,

The DC Public Charter School Board (PCSB) is enthusiastic about the NACSA proposal for a federal Charter Schools Program National Activities Grant and expresses a strong interest in partnering with you in this project.

As an independent authorizer, and the sole charter school authorizer in the District of Columbia, we have broad experience in all aspects of authorizing. We execute a rigorous applications process and are implementing this year, SY 09-10, a "Performance Management Framework" that upgrades the accountability system we have used for several years. This framework drills down into the areas of school performance gathering essential information and providing greater transparency.

The PCSB was established in February 1997 and presently oversees 57 charters on 99 campuses. This school year the charter schools in Washington, DC provided strong and creative educational opportunities to 28,000 students– 38% of children receiving public education in Washington, DC.

Sincerely,

Josephine C. Baker

Josephine C. Baker
Executive Director

3333 14th Street NW Suite 210 ▪ Washington, DC 20010 ▪ t 202 328-2660 ▪ f 202 328-2661
www.dcpubliccharter.com

PR/Award # U282N100020
e86

DISTRICT OF COLUMBIA
PUBLIC CHARTER SCHOOL BOARD

May 10, 2010

Greg Richmond
Executive Director and CEO
National Association of Charter
School Authorizers
106 West Adams Street, Suite 3500
Chicago, Illinois 60603

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Sincerely,

Josephine C. Baker

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Executive Director

3333 14th Street NW Suite 210 ▪ Washington, DC 20010 ▪ t 202 328-2660 ▪ f 202 328-2661
www.dcpubliccharter.com

PR/Award # U282N100020
e87

DENVER PUBLIC SCHOOLS
Office of School Reform and Innovation
750 Galapago St
Denver, CO 80204

May 10, 2010

Mr. Greg Richmond
President, CEO
National Association of Charter School Authorizers
105 West Adams Street, Suite 3500
Chicago, IL 60603

Dear Greg:

I am writing to share with you the Denver Public School's interest in partnering with NACSA on the proposal for a federal Charter Schools Program National Activities grant. We are continually improving our authorizing practice and are eager to have our current policies and procedures reviewed.

To further the District's vision, mission, and broad reform goals, the New Schools Office (now called the Office of School Reform and Innovation) was created in 2007. OSRI's mission is to develop, authorize, and oversee a portfolio of schools that dramatically improves student performance while responding to community needs. Our current portfolio includes twenty-three charter schools and four contract schools, with six new charter schools slated to open in the fall of 2010. Three of those new schools will be replications of current high performing DPS charters. During the 2010-2011 school year, roughly twelve percent of the DPS population will attend a charter or contract school.

Denver Public Schools monitors all of our schools' performance annually using the School Performance Framework (SPF) which includes measures of student growth, status, and student and parent engagement. In addition to using the SPF, OSRI implements a rigorous renewal process for charter schools that includes an extensive audit of key documents and systems, and extended site visits to observe classroom instruction, assess school culture and alignment, and interview school leaders, teachers, parents and students. DPS is committed to holding all schools accountable to high student achievement and in the last two years has either closed or recommended a turnaround strategy for five charter schools.

Because Denver has good performance management, replication, and closure policies and practices in place, I believe we are a strong candidate for review in the NACSA project. We look forward to continuing our work together.

Sincerely yours,

Kristin E. Waters

Kristin E. Waters, Ph.D.
Assistant to the Superintendent, Innovation and Reform

City of
Indianapolis
Gregory A. Ballard, Mayor

May 6, 2010

Mr. Greg Richmond
President & CEO
National Association of Charter School Authorizers (NACSA)
105 West Adams Street, Ste 3500
Chicago, Illinois 60603

Dear Greg:

I write to support NACSA's proposal for a federal Charter Schools Program National Activities grant. Since charter school authorizers are central to creating a high-quality public charter school sector for students and families, increasing the number of charter school authorizers with comprehensive and systemically aligned policies and practices for charter school performance management, replication, and closure are of critical importance. My charter schools office is able and willing to partner with NACSA on this exciting and important work.

Indianapolis is currently home to eighteen (18) Mayor-sponsored charter schools that serve about 6,800 students. Six additional schools have been chartered to open in the fall of 2010. The schools serve a diverse student population: seventy-six (76) and seventy-two (72) percent of Mayor-sponsored charter school students are ethnic minority or low income, respectively. Even with this population, the schools are achieving excellent results for students and families including a very high college-going rate – more than 90% of Mayor-sponsored high school graduates enroll in college – and an excellent rate of student improvement – important given that most students begin at a Mayor-sponsored charter school academically behind.

Indianapolis is firmly committed to the creation of a quality charter sector. Due to our high expectations and thorough review process, only 23% of applicants who have applied for a charter through the Mayor's Office have received one; over the last four years we have revoked and not-renewed multiple charters for low-performance; and we have promoted and approved the replication and expansion of existing high-quality charter schools.

Central to my accountability system is the *Performance Framework* – a document that outlines clear performance expectations for schools I authorize in the areas of academic, operational and financial performance. This tool enables us to monitor and evaluate school performance relative to a clear standard of excellence during the charter term, and make merit-based decisions when a school petition's for charter renewal.

Office of the Mayor
200 E. Washington Street | (317) 327-3601
Indianapolis, Indiana 46204 | (fax) 327-3960
(TDD) 327-5186
www.indy.GOV

I hope you are successful in your efforts to obtain the National Activities grant. My staff and I stand ready to partner with you on this work.

Sincerely,

Gregory A. Ballard
Mayor
City of Indianapolis

STATE OF LOUISIANA
DEPARTMENT OF EDUCATION
POST OFFICE BOX 94064, BATON ROUGE, LOUISIANA 70804-9064
Toll Free #: 1-877-453-2721
http://www.louisianaschools.net

May 5, 2010

Greg Richmond, President & CEO
National Association of Charter School Authorizers
105 West Adams Street, Suite 3500
Chicago, Illinois 60603

Dear Mr. Richmond,

Please accept our letter of interest for participation as a partner in NACSA's proposal for a federal Charter Schools Program National Activities grant. We are honored that you have considered us to be a good candidate for the project. Moreover, we are confident that this project will provide us with a wealth of knowledge that will ultimately increase the quality of Louisiana's authorizing practices.

Since the creation of Louisiana's Recovery School District (RSD), we have been able to impress upon the people of Louisiana that we are focused on increasing student achievement and committed to creating sound educational options for children attending under-performing schools.

Our ability to authorize quality charters has allowed us to turnaround many under-performing schools. While many of our schools are still in need of great improvements, we are steadfast in seeking ways to improve education in our state. With this in mind, our participation as a partner in NASCA's proposal is advantageous.

If Louisiana is selected to participate in depth, please know that we will fully participate in the project activities that you have planned.

Please feel free to contact the Charter School Office at 225-342-3640, if there are any questions regarding our participation.

Sincerely,

Chris Meyer
Special Advisor to the Superintendent
Louisiana Department of Education

STATE OF NEW MEXICO
PUBLIC EDUCATION DEPARTMENT
300 DON GASPAR
SANTA FE, NEW MEXICO 87501-2786
Telephone (505) 827-5800
www.ped.state.nm.us

DR. VERONICA C. GARCÍA
SECRETARY OF EDUCATION

BILL RICHARDSON
Governor

May 5, 2010

Greg Richmond, President & CEO
National Association of Charter School Authorizers
105 West Adams Street, Suite 3500
Chicago, Illinois 60603

Dear Mr. Richmond

On behalf of the New Mexico Charter Schools Division, I would enthusiastically accept your invitation to be a partner in a National Association of Charter School Authorizers (NACSA) proposal for a federal Charter Schools Program National Activities grant

As you know, we have recently engaged NACSA in a process that has focused on our authorization practices as a state authorizer under the Public Education Commission. We will continue our journey with an in-depth review of the NACSA report. Our goal is to begin a dialogue with the PEC that will lead to guiding principles for quality authorization in New Mexico. Without the guidance and support from NACSA, our work toward quality authorization practices would not be as focused or as beneficial.

We look forward to our continued partnership with NACSA. It is through your work that we can finally begin to have a conversation that will support quality charter schools through quality authorization practices.

Sincerely,

Don Duran
Assistant Secretary Charter Schools Division

Department of Education

Michael T. Duffy
Executive Director
Charter School Office

52 Chambers Street
Room 413
New York, NY 10007

Tel: 212 374 0204
Fax: 212 374 5581

May 6, 2010

Greg Richmond, President & CEO
National Association of Charter School Authorizers
105 West Adams Street, Suite 3500
Chicago, Illinois 60603

Dear Greg,

Since the New York State Charter Schools Act was enacted in 1998, the Chancellor of the New York City Public Schools has authorized 73 charter schools. In that time, 2 of those schools have had their charters revoked, while others have received short-term renewals and been placed on probation. In the fall of 2010, more than 20,000 students will attend a charter school authorized by the NYC DOE.

The Charter School Office of the New York City Department of Education is fully committed to rigorous charter school authorizing practices and the highest standards of accountability. Chancellor Klein is a strong advocate for accountability for all schools – aggressively replicating what works and closing down what doesn't. By leveraging the resources of the nation's largest school system, the Charter School Office is able to bring a data-driven system of accountability focused on student achievement to bear on the questions of charter authorization, replication, renewal and –when necessary- closure.

The Department would be proud to partner with NACSA in this exciting project and the Charter School Office will make itself available to NACSA in whatever way is needed.

Sincerely,

Michael Thomas Duffy

Charter Schools Institute
The State University of New York

May 10, 2010

VIA FACSIMILE AND FIRST CLASS MAIL

Mr. Greg Richmond
President and Chief Executive Officer
National Association of Charter School Authorizers
105 West Adams Street, Suite 3500
Chicago, Illinois 60603

Re: Federal Grant Application

Dear Mr. Richmond:

On behalf of the State University of New York Charter Schools Institute, I am pleased to submit this letter of interest in support of the National Association of Charter School Authorizers' (NACSA) federal Charter Schools Program National Activities Grant application.

As a founding member of NACSA, the State University of New York (SUNY) applauds NACSA's continuing efforts to assure high quality authorizing practices across the country. In that spirit, the SUNY Charter School Institute is interested in participating in NACSA's proposal, developed in cooperation with Bellwether Education Partners and Tugboat Education Services.

SUNY is one of two statewide charter school authorizers in New York State. SUNY's authorizing practices have been recognized by the United States Department of Education as exemplars. In the 2010-11 school year, 74 SUNY authorized charter schools will serve well over 20,000 students. The Institute has been evaluating initial applications for the opening and subsequent renewals of charter schools that serve a variety of urban and suburban communities since 1998.

SUNY currently utilizes a well-designed academic accountability plan to monitor student achievement at the schools it authorizes. SUNY maintains the highest of standards, supports the replication of successful schools and has demonstrated its willingness to hold schools accountable by making the difficult decision to close eight under-performing charter schools to date.

We welcome the opportunity that the proposed project offers to further share our experiences with authorizers across the country. I look forward to discussing with you our participation in this federal grant.

Sincerely,

Jonas S. Chartock
Executive Director

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www.newyorkc[redacted]

Volunteers of America®
Minnesota

Charter School Sponsorship Program
924 19th Avenue South
Minneapolis, MN 55404
Tel: 612-375-0700
Fax: 612-375-0800

Greg Richmond, President & CEO
National Association of Charter School Authorizers
105 West Adams Street, Suite 3500
Chicago, Illinois 60603

Dear Greg:

Please accept this Letter of Intent to work with NACSA on the Charter School Program National Activities grant to increase the number of authorizers with comprehensive and systemically aligned policies and practices for charter school performance management, replication, and closure. As the first non-profit charter authorizer in the nation, and the first to be approved in our state's rigorous, new authorizer approval process, Volunteers of America of Minnesota is well-positioned to be a strong partner in this proposal.

Volunteers of America of Minnesota (VOA-MN) authorizes a network of fourteen schools serving approximately 3,000 students located throughout the state in a variety of urban, rural, and suburban settings. The variation in the communities served gives us a bird's-eye view of the entire charter school landscape in Minnesota and the unique environmental advantages and disadvantages schools may face. These experiences have informed our policy and practice over time, and have assisted us in developing the comprehensive accountability and review systems we currently use to evaluate our schools.

These accountability systems not only allow VOA-MN-authorized schools to understand the standards to which they are held, they also provide a framework for oversight of academic, financial, and organizational performance and a process of intervention to be used when concerns arise. VOA-MN takes its authorizing role very seriously and has demonstrated its commitment to charter school excellence by placing underperforming schools on intervention, which led to closure in the case of three schools that were unable to improve their performance.

VOA-MN is also working with several successful schools that are exploring the possibility of replication. VOA-MN is supportive of these efforts and one of these schools has already been authorized for multiple campuses. We have also been actively recruiting CMO's with track records of strong academic performance to expand to Minnesota. Our goal is to continue to expand high quality education options throughout the state.

Please do not hesitate to contact us with any questions or requests for additional information.

Sincerely,

Justin A. Testerman

APPENDIX IV

NATIONAL ADVISORY PANEL

National Association of Charter School Authorizers

5/14/2010

NATIONAL ADVISORY BOARD
2010

Steve Barr, Founder & CEO, Green Dot Public Schools Barr founded Green Dot in Los Angeles in 1999 with the vision of transforming secondary education in California by creating high performing public charter high schools. Prior to founding Green Dot, Barr held a number of leadership positions in political and social service organizations. In 1990, he co-founded Rock the Vote to engage young Americans in the political process.

Jim Blew, Director of K-12 Education Reform, Walton Family Foundation - Prior to leading Walton's efforts to improve the academic performance of U.S. schools, Blew directed various campaigns for the Alliance for School Choice and its predecessor, the American Education Reform Council. In 1997, Mr. Blew helped found the highly successful Watts Learning Center charter elementary school in South Los Angeles.

Phoebe Boyer, Executive Director, Tiger Foundation- Prior to joining Tiger, Boyer identified and secured private funds for The After-School Corporation (TASC), an organization established by George Soros for the sole purpose of enhancing the quality and availability of after-school programming. Before joining TASC, Boyer worked with Inwood House, a social service agency that works with pregnant and parenting teens.

Linda Childears, President and Chief Executive Officer, Daniels Fund - Prior to her assuming the position at the Denver-based Daniels Fund, Childears worked to plan and organize the Young Americans Bank and was its president from 1987 to 2005. She also spearheaded the Young Americans Center for Financial Education, which she has led since its inception in 1990.

Mike Feinberg, Co-Founder, Knowledge is Power Program (KIPP) Foundation In 1994, Feinberg cofounded KIPP with Dave Levin and established KIPP Academy Houston a year later. In addition to serving on the Board of the KIPP Foundation, Mike serves as Superintendent of KIPP Houston. Feinberg started his career as a Teach for America fifth-grade teacher in Houston.

Howard Fuller, Founder and Director, Institute for the Transformation of Learning, Marquette University - Howard Fuller is distinguished professor of education at Marquette University as well as founder and director of the Institute for the Transformation of Learning. Fuller served as superintendent of Milwaukee Public Schools from 1991 to 1995. Today, he chairs several boards, including the Black Alliance for Educational Options (BAEO) and the Alliance for Choices in Education.

Jim Griffin, President, Colorado League of Charter Schools Griffin has served in the capacity of League President since the organization's inception in 1994. Jim has also been deeply involved in federal policy development, and has provided support to new state charter school organizations across the country.

Kevin Hall, Chief Executive Officer, Charter School Growth Fund, Hall joined CSGF in 2009 after serving as the Chief Operating Officer of the Eli and Edythe Broad Foundation. Hall is also a co-founder and former senior vice president of business development of Chancellor Beacon Academies and previously served as senior vice president of infoUSA.

Paul T. Hill, Professor, University of Washington, Director, Center on Reinventing Public Education - In addition to his dual role at the University, Hill is a nonresident senior fellow of the Hoover Institution and the Brookings Institution's Economic Studies Program. Before joining the University of Washington Hill worked for 17 years as a senior social scientist in RAND's Washington Office.

Gary Huggins, Executive Director, Commission on No Child Left Behind - Huggins has more than fifteen years of experience in leading education and environmental policy organizations. Prior to joining the Commission, he served as Executive Director of the Education Leaders Council and the Education Leaders Action Council, organizations focused on improving K-12 education systems.

Carol Lee, President, American Educational Research Association - Lee is an Associate Professor of Learning Sciences & African American Studies at Northwestern University. She is the founder and former director of the New Concept School, an African-centered independent school in Chicago. She also founded the Betty Shabazz International Charter School.

Ebony Lee, Portfolio Manager, Bill and Melinda Gates Foundation- Lee joined the Gates Foundation in 2007 after serving as Chief of Staff to U. S. Education Secretary Margaret Spellings. Before moving to the Department of Education, Lee served as Associate Director of the Office of Intergovernmental and Public Liaison at the U.S. Department of Justice.

***Carlos Lejnieks, CEO,* Big Brothers Big Sisters of Essex, Hudson & Union Counties (NJ)** - Prior to joining BBBS in 2004, Lejnieks was an administrator for North Star Academy, a nationally-recognized charter public school in Newark. He is a Co-Founder of Democracy Prep Charter School in Harlem and remains a member of the school's Board of Trustees. Lejnieks is currently Chairman of the New Jersey Charter Schools Association.

Phyllis Lockett, President and CEO Renaissance Schools Fund - Prior to her role in developing, launching and leading the Fund, Lockett worked as a Special Projects Manager for the Public Building Commission and the City of Chicago Mayor's Office. She is also the former Executive Director of the Civic Consulting Alliance (CCA).

James Merriman, Chief Executive Officer, New York City Center for Charter School Excellence - Before joining the center, Merriman was with the Walton Family Foundation, where he helped oversee the awarding of grants to charter schools. Previously, Merriman served as executive director of the Charter Schools Institute of the State University of New York.

Nina Rees, Vice President for Strategic Initiatives, Knowledge Universe Learning Group **-** Prior to joining Knowledge Universe, she was an assistant deputy secretary in the U.S. Department of Education and headed the Office of Innovation and Improvement. From 1997 to 2001, Rees served as the chief education analyst for The Heritage Foundation and was the foundation's lead author and spokesperson on education

Andy Rotherham, Co-founder, Bellwether Education **-** Rotherham previously served at The White House as Special Assistant to the President for Domestic Policy during the Clinton Administration and is a former member of the Virginia Board of Education. This March, in partnership with New Schools Venture Fund co-founder Kim Smith, Rotherham launched Bellwether Education, leading its thought leadership and policy work.

Nancy Searle, Searle Family Consultant to the Chicago Community Trust **-** Searle serves on a variety of cultural and charitable organizations with a personal focus on education. She is the founder of Leaders for Literacy and currently serves on the board of the Renaissance Schools Fund. Her previous board service includes the Chicago Annenberg Challenge and Leadership for Quality Education.

Tom Vander Ark, Partner, Vander Ark/Ratcliff – Vander Ark is also a partner in Revolution Learning, a private equity investor concentrating on improving formal and informal learning globally. Previously he served as President of the X PRIZE Foundation and served for seven years as Executive Director of Education for the Bill and Melinda Gates Foundation.

Jed Wallace, CEO, California Charter Schools Association - Before beginning his tenure at the Association in 2009, Wallace served as the Chief Operating Officer of High Tech High in Southern California. He began his career in public education as a teacher at Hooper Avenue Elementary School in South-Central Los Angeles where he created a school-within-a-school.

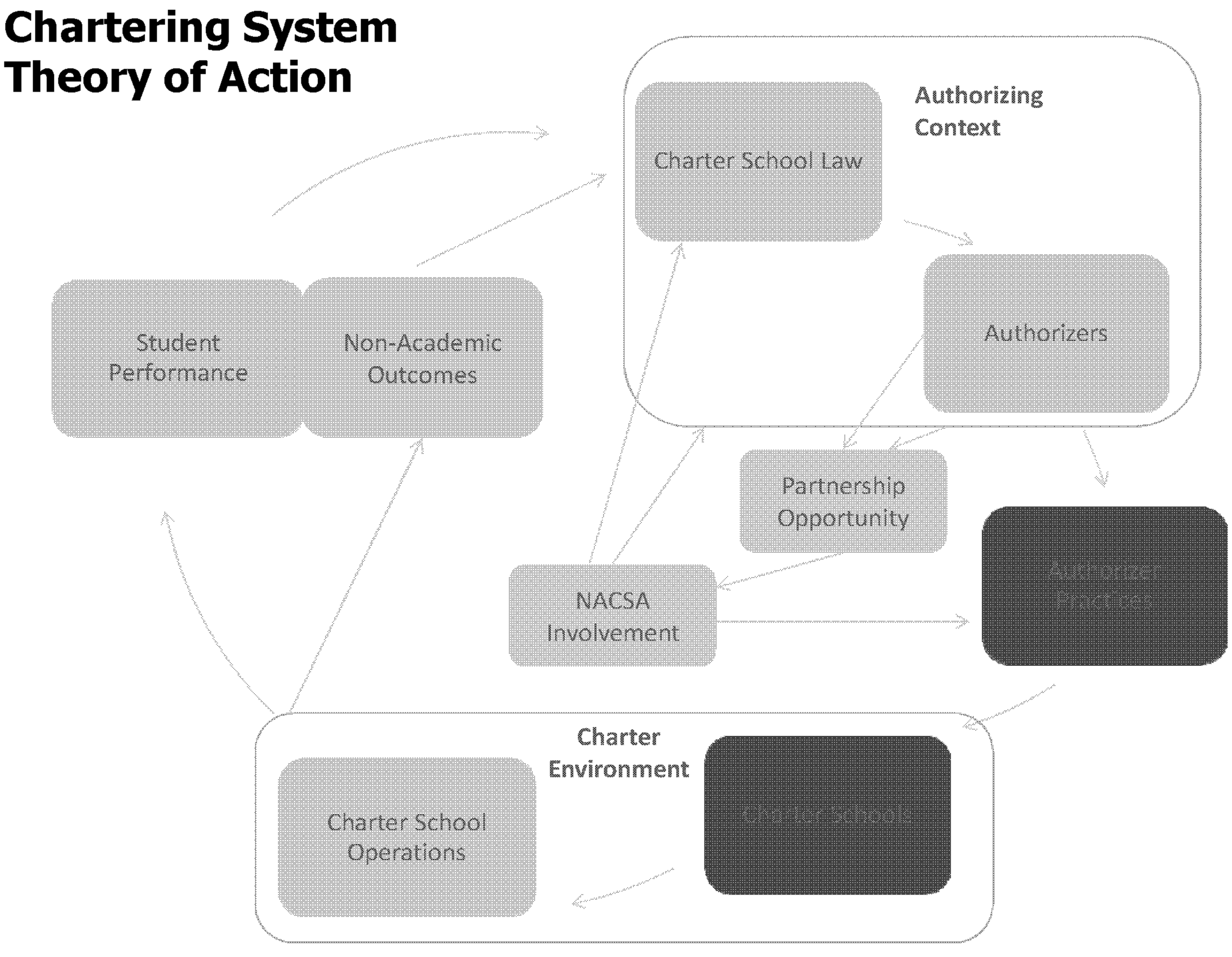
APPENDIX V

CHARTERING SYSTEM THEORY OF ACTION

National Association of Charter School Authorizers

5/14/2010

NACSA: Chartering System Theory of Action



APPENDIX VI

PMRC LOGIC MODEL

National Association of Charter School Authorizers

5/14/2010

Creating Quality Charter Schools through Performance Management, Replication and Closure Project

Logic Model

INPUTS	OUTPUTS		OUTCOMES		
Program Investments	***Activities***	***Participation***	***Short Term***	***Intermediate***	***Long Term***
Staff **Partners** **Consultants** **Study Group** **Federal Grant** **Private Grants**	**Research and document effective practices** **Develop, pilot and refine a framework** **Disseminate learning via trainings and publications**	**# of model sites** **# of pilot sites** **# of study panel participants** **Strategic partners** **- Aspen Institute** **- CCSSO** **- Bellwether** **- Tugboat**	**Increased awareness of effective account -ability practices. Improved authorizing practices.**	**Increase in the # of authorizers with comprehensive and systematic accountability practices.** **Improved effectiveness of authorizers as key actors.**	**Increased student achievement as a result of effective authorizer accountability practices.**

Project Objectives:

1. **Document the effective policies and practices of model authorizers in performance management, replication and closure.**
2. **Develop a comprehensive research-based set of integrated policies and practices with the support of a National Advisory Panel and other key stakeholders.**
3. **Pilot the model at four demonstration sites, document implementation achievements and challenges, and refine model as needed.**
4. **Disseminate promising practices to audiences with direct authority to influence change in charter school authorizing.**

APPENDIX VII

AUTHORIZER EVALUATION FRAMEWORK

National Association of Charter School Authorizers

5/14/2010

nacsa
NATIONAL ASSOCIATION OF CHARTER SCHOOL AUTHORIZERS

month|10

NATIONAL ASSOCIATION OF CHARTER SCHOOL AUTHORIZERS

AUTHORIZER EVALUATION REPORT

AUTHORIZER

EXECUTIVE DIRECTOR

REVIEW DATE

EVALUATORS

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PART 1: APPLICATION DECISION-MAKING

Guiding Question

Does the authorizer approve applications based on demonstrated preparation and capacity to operate a quality charter school?

Rating Categories

The authorizer is evaluated on the extent to which its new school application practices are:

Established	**For established, a "well-developed" rating means that the authorizer has adopted policies and other resources (e.g., an application packet) that clearly document the requirements. Those materials should be readily known and available to the community, particularly to potential applicants and application evaluators.**
Applied	For applied, a "well-developed" rating means that the authorizer evaluates applications, makes recommendations, and makes approval and denial decisions that reflect fair procedures and rigorous evaluation criteria.

1.1 APPLICATION DECISION-MAKING: SUBSTANCE

		Established	Applied
	This section evaluates the expectations that the authorizer establishes, communicates and applies to the substance of charter school applications, including the educational program, the organizational plan, the business plan, and demonstrated capacity, in order to make decisions about whether to approve or deny charter school applications. *Note: The shaded criteria below (1.1.7 and 1.1.8) are not required in order to have a quality authorizing practice. They represent, in and of themselves, model practices.*		
1.1.1	**Mission and Vision:** The authorizer has thorough requirements and rigorous evaluation criteria for the school's proposed mission and vision.		
1.1.2	**Educational Program:** The authorizer has thorough requirements and rigorous evaluation criteria for the proposed educational program, including the educational philosophy, curriculum and instruction, teaching skills and experience, calendar and daily schedule, target population, enrollment, and plans for educating students with special needs.		
1.1.3	**Organizational Plan:** The authorizer has thorough requirements and rigorous evaluation criteria for the proposed organizational plan, including legal status of the organization, management and operations plan, education service provider arrangements (if applicable), community involvement, student recruitment and enrollment, and staffing and human resources.		
1.1.4	**Business Plan:** The authorizer has thorough requirements and rigorous evaluation criteria for the proposed business plan, including the budget, management of financial and other procedures, facilities, and pre-opening tasks.		
1.1.5	**Applicant Capacity:** The authorizer has thorough requirements and rigorous criteria for evaluating the applicants' capacity to implement the school plan effectively, including capacity to oversee the educational program; ensure effective and responsible management of public funds; and take responsibility for legal compliance.		
1.1.6	**Decision Alignment:** Authorizer decision-making is informed by documented evidence and analyses of the extent to which the plan satisfies approval criteria.		

1.1 APPLICATION DECISION-MAKING: SUBSTANCE (cont'd)			
1.1.7	**New School Priorities:** The authorizer has defined new school priorities based on identified needs in the population to be served.		
1.1.8	**Application Responsiveness:** The application has been adapted to meet information needs generated by different types of proposals (e.g., online, replication, alternative education).		
OVERALL RATING: **Application Decision-Making: Substance**			

1.2 APPLICATION DECISION-MAKING: PROCESS			
This section evaluates the expectations that the authorizer establishes, communicates and applies to the charter school application process, including timelines, format requirements, evaluation procedures, and any steps the authorizer actively takes to solicit applications. *Note: The shaded criterion below (1.2.4) is not required in order to have a quality authorizing practice. It represents, in and of itself, a model practice.*		Established	Applied
1.2.1	**Application Process Timelines:** The authorizer has clear and realistic timelines for the application process.		
1.2.2	**Proposal Format:** The authorizer has clear and realistic expectations for proposal format.		
1.2.3	**Transparency:** The authorizer has transparent processes for both application evaluation and application decision-making.		
1.2.4	**Applicant Pool Development:** The authorizer takes affirmative steps to increase the likelihood of receiving viable applications that meet identified needs.		
OVERALL RATING: **Application Decision-Making: Process**			

PART 2: OPERATIONAL EXPECTATIONS

Guiding Question

Does the authorizer establish clear expectations for school operation and monitor performance consistent with those expectations?

Rating Categories

The authorizer is evaluated on the extent to which its practices surrounding school operation are:

Established	**For established, a "well-developed" rating means that the authorizer has a contract, charter or other binding agreement with each school that establishes the relevant operational terms with sufficiently clarity for both parties to understand their respective rights and responsibilities.**
Applied	For applied, a "well-developed" rating means that on an ongoing basis, the authorizer gathers and evaluates evidence that is probative and sufficient for determining whether the school is meeting the operational terms.

2. OPERATIONAL EXPECTATIONS

	The contract should document the material terms of the school's operation including its legal status, the educational program, operational requirements, financial commitments, and miscellaneous terms of the contract's operation. The contract should also make clear the legal authorities with which the charter school must comply.	Established	Applied
2.1	**Material Terms of School Existence:** Through the contract, the authorizer documents and monitors material terms of the school's existence, including the legal status of the school, its location, authority of the signatories, length of the charter term, and restrictions or requirements that apply to the school's governing body.		
2.2	**Material Terms of Educational Program:** Through the contract, the authorizer establishes and monitors material terms of the school's educational program.		
2.3	**Material Terms of Operation:** Through the contract, the authorizer establishes and monitors material terms of the school's operation. Those include the school's mission; grade range and number of students; recruitment and enrollment practices; school calendar; student discipline; student transportation; employee status and other personnel matters; handling of student records; insurance; terms of a third party educational service provider agreement (if applicable); and board operating restrictions and requirements such as applicable open government requirements. The terms of operation include required assurances such as for compliance with applicable civil rights laws.		
2.4	**Material Financial Matters:** Through the contract, the authorizer establishes and monitors material financial matters. Those matters include funding calculation and delivery; enrollment reporting; funding formulas; funding transfer schedules; authorizer administrative fees (if applicable); reporting requirements; audit requirements; and asset ownership and disposition rights and responsibilities.		
2.5	**Compliance with External Authorities:** Through the contract, the authorizer documents and monitors compliance with relevant external authorities, including but not necessarily limited to applicable civil rights, state testing and accountability, open government, and health, safety and welfare laws.		

2.6	**Compliance with Obligations to Special Student Populations:** Through the contract, the authorizer documents and monitors compliance with the school's obligations for serving students identified with disabilities; English language learners; and other special populations.		
2.7	**Monitoring Authority:** The authorizer establishes and exercises the authority it needs to monitor the school appropriately.		
2.8	**Operational Terms of Contract:** The authorizer establishes the operational terms of the contract itself including provisions regarding notice, waiver, severability, assignment, amendment, merger, indemnification, and contract dispute resolution.		
OVERALL RATING: **Operational Expectations**			

PART 3: ACCOUNTABILITY DECISIONS

Guiding Question

Does the authorizer hold schools accountable based on performance as measured against rigorous expectations?

Rating Categories

The authorizer is evaluated on the extent to which its practices surrounding accountability decisions are:

Established	**For established, a "well-developed" rating means that the authorizer defines performance standards clearly and consistently with respect to educational, financial and organizational results that schools are expected to achieve. It also means that the authorizer makes both the expectation and the school's status readily known to the school in the context of accountability decisions.**
Applied	For applied, a "well-developed" rating means that the authorizer makes merit-based accountability decisions based on fair procedures and rigorous performance criteria that are consistent with evidence of performance in relation to the established expectation.

3. ACCOUNTABILITY DECISIONS			
Performance-Based Accountability means high-stakes decisions that are based on the application of valid, reliable evidence to the school's performance as set out in the charter contract. Accountability includes decisions about a school's preparation to open; whether to intervene in a school's operation; and whether to revoke or non-renew a charter contract.		Established	Applied
School Opening			
3.1	The authorizer has sound educational, organizational and financial conditions that must be met in order for the school to be approved to open.		
Performance Measures			
3.2	**Educational Performance:** Consistent with state and federal accountability systems, the authorizer has clear expectations for and monitors educational performance based on achievement level (status), student progress over time (growth), and postsecondary readiness (if applicable). The authorizer considers both absolute and comparative educational performance.		
3.3	**Organizational Performance:** The authorizer has clear expectations for and monitors organizational performance based on responsible governance, legal compliance, sound enrollment, and positive student and family engagement.		
3.4	**Financial Performance:** The authorizer sets clear expectations for and monitors financial performance predicated on sound budgeting, sound accounting, and demonstrated fiscal viability.		
Performance Decisions			
3.5	**Charter Intervention:** The authorizer follows a transparent, effective process and timeline for charter intervention and makes decisions based on the school's demonstrated academic, organizational, and financial performance.		
3.6	**Charter Revocation:** The authorizer follows a transparent, effective process and timeline for charter revocation and makes decisions based on the school's demonstrated academic, organizational, and financial performance.		

3.7	**Charter Renewal:** The authorizer follows a transparent, effective process and timeline for charter renewal and makes decisions based on the school's demonstrated academic, organizational, and financial performance.		
3.8	**Presentation of Evidence:** In the context of making accountability decisions, the authorizer affords schools a meaningful opportunity to present evidence related to their performance and to amend the contract to reflect the current state of the school.		
3.9	**School Closure Practices:** The authorizer has sound practices for orderly school closure in the event of revocation, non-renewal or voluntary relinquishment of the charter.		
OVERALL RATING: Accountability Decisions			

PART 4: SCHOOL AUTONOMY

Guiding Question

Do schools have the autonomy to which they are entitled?

Rating Categories

The authorizer is evaluated on the extent to which its practices surrounding school autonomy are:

Established	**For established, a "well-developed" rating means that the authorizer has a contract, charter or other binding agreement with each school that documents the autonomy to which the school is entitled consistent with applicable law. It also means that schools understand their rights and responsibilities around waivers and autonomy.**
Applied	For applied, a "well-developed" rating means that the authorizer monitors and evaluates schools consistent with the school's legal and contractual rights to operational autonomy.

4. SCHOOL AUTONOMY

		Established	Applied
	Autonomy means the authority of schools to make decisions about the process and means by which they will achieve expected outcomes, consistent with applicable law and policy. *Note: The shaded criterion below (4.5) is not required in order to have a quality authorizing practice. It represents, in and of itself, a model practice.*		
4.1	**Management of Conflicts of Interest:** The authorizer takes measures to avoid conflicts of interest that might affect the authorizer's capacity to make merit-based application and renewal decisions, including avoiding decisions and interventions that make the authorizer responsible for the school's performance.		
4.2	**Documentation and Respect of Legally Entitled Autonomies:** Through the contract, the authorizer documents and respects the autonomies (e.g., waivers from statutes and regulations) to which the schools are entitled by law.		
4.3	**Additional Authorizer Services:** Any services that the authorizer intends to offer schools for a fee are made distinct from the authorizer's accountability role and responsibilities.		
4.4	**Requirements:** The authorizer avoids duplicative requirements and weighs the legal or practical necessity for new compliance-related requirements against the additional compliance burden on schools.		
4.5	**Periodic Review of Compliance-Oriented Rules and Regulations:** The authorizer periodically reviews existing compliance-oriented rules and regulations and evaluates the potential to increase school autonomy based on flexibility in the law, available efficiencies (e.g., streamlining duplicate reporting requirements), demonstrated school performance, or other considerations.		
OVERALL RATING: School Autonomy			

PART 5: EDUCATION QUALITY

Guiding Question

Is the authorizer improving the quality of public education options available to children and families?

Rating Categories

Education Quality is based on an independent assessment of the overall quality of charter school performance based on state and federal performance measures.

The extent to which authorizer practices are established and applied is not applicable to this rating. The authorizer is evaluated exclusively on how its practices are applied in the sense of the educational outcomes that they help to generate.

For a detailed analysis of school performance including the assessments on which the analysis relies and the basis for specific ratings, see the School Performance Report (Appendix IV).

Results	**For a well-developed practice, *results* means evidence that the authorizer is improving the quality of public education options available to children and families based on local and statewide comparisons using evidence of absolute performance, comparative performance, and progress over time, as available.**

5. EDUCATION QUALITY		
Education Quality means the overall performance of schools that the authorizer has chartered. The evaluation will be based on the state and federal accountability systems and will consider absolute, comparative and gains measures to the extent available.		Results
5.1	**State and Federal Accountability: Status** Schools are consistently meeting their state and federal accountability targets as defined by adequate yearly progress results.	
5.2	**State and Federal Accountability: Comparative Performance** Schools are performing measurably better than traditional public schools in the district in which they are located and schools statewide based on adequate yearly progress results.	
5.3	**Student Progress Over Time** Student achievement for continuously enrolled students is measurably higher than for the school population as a whole.	
5.4	**Post-secondary Readiness** Charter schools approved by the authorizer are performing measurably better than traditional district schools in preparing students for college.	
OVERALL RATING: Education Quality		

APPENDIX VIII

THE FUND FOR AUTHORIZING EXCELLENCE EVALUATION RUBRIC

National Association of Charter School Authorizers

5/14/2010

Applicant Name	Interested in What Type of Grant? (Strategic Planning, Comprehensive Evaluation, or Implementation)	Reviewer Name	Total Score
			28

LOI Evaluation Part I:
Alignment with **The Fund for Authorizing Excellence Guiding Principles**

1. **Vision for Quality**

In evaluating the vision for quality set forth in the Letter of Intent (LOI), reviewers should consider the degree to which the applicants provide a clear, complete and specific set of indicators and activities that align with The Fund's desire to support the creation of more consistently rigorous educational opportunities. Reviewers should consider following when reviewing the Vision for Quality provided in the LOI:

- Does the LOI provide specific indicators of quality that, as established by NACSA's *Principles & Standards of Quality Authorizing,* are likely to create or strengthen a high quality charter environment?
- Does the LOI present a succinct yet coherent explanation as to how the proposed work will result in policies and processes that support the creation/growth of a strong market place for autonomous yet accountable public schools of choice?
- Does the LOI include demonstrated evidence that the applicant(s) has/have an organizational and/or individual commitment to high performing public schools of choice?

Please score the **Vision for Quality** in the LOI on a scale of 1 to 4 by indicating the appropriate box below. In providing comments on strengths and weaknesses, please include specific page and, when possible, paragraph numbers from the LOI.

Vision for Quality Score & Comments			
1	**2**	**3**	**4**
LOI fails to adequately address the criteria.	LOI adequately addresses a portion, but not all of the criteria.	LOI addresses most the criteria sufficiently.	LOI provides a concise and compelling response to all or substantially all criteria.
Strengths:			
Weaknesses:			

2. **Commitment to Improvement**

The LOI should communicate urgency and commitment to improvement. Reviewers should consider the strength with which the LOI conveys the following:

- A **Rigorous Application Process** for new schools, as called for in NACSA's *Principles & Standards for Quality Authorizing*; and/or,
- A **Monitoring Protocol,** as outlined in NACSA's *Principles & Standards for Quality Authorizing,* that balances accountability with the autonomy necessary for schools to create **Rigorous and Consistent Academic Excellence**; and / or,
- A Record of or interest in consistently **Renewing** only **Strong Schools** and consistently **Declining to Renew Schools that Fail** to produce academic excellence as called for in NACSA's *Principles & Standards for Quality Authorizing*; and,
- Creation of a set of **External & Internal Stakeholders** necessary to ensure the proposed work succeeds;
- Support from the applicant organizations' top leaders;
- Availability and commitment of resources (financial, individuals, organizational partners) to support the proposed work;

- Evidence the applicant(s) currently apply some or all of NACSA Principles & Standards in pursuit of quality authorizing; and,
- The degree to which the goals of the proposed project leverage existing or new initiatives in the organization and its environment.

Please score **Commitment to Improvement** presented in the LOI using a scale of 1 to 4 by indicating the appropriate box below. In providing comments regarding strengths and weaknesses in this section, please include specific page and, when possible, paragraph numbers from the LOI.

Commitment to Improvement Score & Comments			
LOI fails to adequately address the criteria.	LOI adequately addresses a portion, but not all of the criteria.	LOI addresses most the criteria sufficiently.	LOI provides a concise and compelling response to all or substantially all criteria.
1	**2**	**3**	**4**
Strengths:			
Weaknesses:			

3. **Potential for Sustainability**

Sustainability is the capacity to endure. Reviewers should look for the following in scoring the potential for sustainability of the proposed work:

- A brief analysis of the operating environment for the proposed work including the opportunities and challenges;
- An indication that the applicant has established, or plans to establish, the partnerships required to sustain positive effects of the proposed work;
- An indication that the applicant has access to sustainable financial and personnel resources to sustain the work;
- Proposed strategies and evaluation methodology that indicate implementation of sustainable systems, policies, etc,; and,
- Concise, specific details regarding how the proposed work will create or advance an enduring, high quality charter environment.

Please score the **Potential for Sustainability** presented in the LOI using a scale of 1 to 4 by indicating the appropriate box below. In providing comments regarding strengths and weaknesses, please include specific page and when possible paragraph numbers from the LOI.

Potential for Sustainability Score & Comments			
LOI fails to adequately address the criteria.	LOI adequately addresses a portion, but not all of the criteria.	LOI addresses most the criteria sufficiently.	LOI provides a concise and compelling response to all or substantially all criteria.
1	**2**	**3**	**4**
Strengths:			
Weaknesses:			

LOI Evaluation Part II:
Statement of Need

4. Statement of Need

The statement of need should present a coherent and convincing argument that the proposed project will meet an important need that directly impacts the quality or quantity of high performing charter schools in the target environment. Reviewers should look for responses that:

- Align the type of grant proposed (Strategic Planning, Comprehensive Evaluation, or Implementation) with the need the applicant(s) hope to address;
- Clearly identify those individuals, organizations, policies, etc. that will be the focus of the proposed work;
- Make a compelling argument that the work outlined is likely to result in higher quality and/or quantity of public school choice options for students;
- Conveys a sound understanding of the problem the applicant hopes to address; and,
- Include references, examples, etc. of prior successful or failed attempts to address the need, augmented by any lessons learned.

Please score the **Statement of Need** presented in the LOI using a scale of 1 to 4 by indicating the appropriate box below. In providing comments regarding strengths and weaknesses, please include specific page and when possible paragraph numbers from the LOI.

Statement of Need Score & Comments			
LOI fails to adequately address the criteria.	LOI adequately addresses a portion, but not all of the criteria.	LOI addresses most the criteria sufficiently.	LOI provides a concise and compelling response to all or substantially all criteria.
1	**2**	**3**	**4**
Strengths:			
Weaknesses:			

LOI Evaluation Part III:
Potential Impact

5. Potential Impact

The "Fund-amental" question for gauging the potential impact described in the LOI is "What will happen as a result of this work?" Does the LOI convey a sense the applicant will work with urgency to improve authorizing practices based on a comprehensive evaluation? Will the applicant successfully *implement* a strategic plan? Will the plans implemented result in real improvement? In analyzing potential impact, reviewers should consider the type of grant (Strategic Planning, Comprehensive Evaluation, Implementation) and the following criteria;

- The potential of the proposed project to create a momentum for change or replication likely to ensure the applicants achieve their goals;
- The strength of impact on targeted individuals, organizations, policies, practices, etc. in the organization's operating environment;
- Is the budget presented sufficient to support the desired impact?; and,
- The potential policy and practice impact of the proposed work on the larger education environment.

Please score the **Potential Impact** of the work presented in the LOI using a scale of 1 to 4 by indicating the appropriate box below. In providing comments regarding strengths and weaknesses, please include specific page and when possible paragraph numbers from the LOI.

Statement of Need Score & Comments			
LOI fails to adequately address the criteria.	LOI adequately addresses a portion, but not all of the criteria.	LOI addresses most the criteria sufficiently.	LOI provides a concise and compelling response to all or substantially all criteria.
1	**2**	**3**	**4**

Strengths:
Weaknesses:

LOI Evaluation Part IV: Measurable Success

6. Measurable Success

The Fund for Authorizing at NACSA supports projects that deliver success in terms of quantifiable outcomes. The proposed goals/outcomes included in the LOI should convey confidence reflect the following criteria:

- Goals, or indicators of project success allow for objective measurement of success;
- Project goals include demonstrating attainment of NACSA's *Principles and Standards of Quality Authorizing*;
- Project goals include leading and lagging indicators of success (i.e. implementation goals paired with outcome goals such as student achievement, percent of failing charters closed, etc. that will lag behind project completion);
- The budget and plans presented devote sufficient resource to support the evaluation of success;
- The number and type of goals set forth in the proposals are reasonable and achievable given the scope, timeframe, and resources outlined in the LOI;
- The methodology for evaluating project outcomes includes the use of both qualitative and quantitative data for analyzing success; and
- The proposed project evaluation includes data that is useful in ongoing analysis to address continuous improvement of the education environment.

Please score the **Measurable Success** of the work presented in the LOI using a scale of 1 to 4 by indicating the appropriate box below. In providing comments, please include specific page and when possible paragraph numbers from the LOI.

Statement of Need Score & Comments			
LOI fails to adequately address the criteria.	LOI adequately addresses a portion, but not all of the criteria.	LOI addresses most the criteria sufficiently.	LOI provides a concise and compelling response to all or substantially all criteria.
1	**2**	**3**	**4**
Strengths:			
Weaknesses:			

LOI Evaluation Part V: Qualifications & Experience

7. Qualifications & Experience

The qualifications and experience of key personnel presented in the LOI should demonstrate The Fund at NACSA's core belief that talented, committed leadership and staff is central to building a successful charter school environment. Reviewers should seek information about the applicant's key personnel quality and experience in the introduction, summary of proposed work, attachments and throughout the LOI as warranted. Reviewers should consider the following criteria in reviewing the key personnel information included in the LOI:

- The LOI effectively demonstrates long term commitment on the part of top leaders, administrative, and implementation staff;
- Key project personnel have a record of producing high quality and sustainable results;
- Collectively, proposed personnel demonstrate knowledge of and experience with implementing NACSA's Principles and Standards of Quality Authorizing;
- Project personnel are positioned within the organization and/or proposed partnership to effectively and efficiently lead and influence project success; and,
- Personnel have demonstrated experience in successful project implementation.

Please score the **Qualifications and Experience** of the principal staff and/or consultants presented in the LOI using a scale of 1 to 4 by indicating the appropriate box below. In providing comments regarding strengths and weaknesses, please include specific page and when possible paragraph numbers from the LOI.			
Statement of Need Score & Comments			
LOI fails to adequately address the criteria.	LOI adequately addresses a portion, but not all of the criteria.	LOI addresses most the criteria sufficiently.	LOI provides a concise and compelling response to all or substantially all criteria.
1	**2**	**3**	**4**
Strengths:			
Weaknesses:			

APPENDIX IX

RESUMES OF STAFF, PROJECT PARTNERS AND CONSULTANTS

National Association of Charter School Authorizers

5/14/2010

Greg A. Richmond

Employment

National Association of Charter School Authorizers (NACSA)

President & CEO. March, 2005 – present.

Organization Description

The National Association of Charter School Authorizers (NACSA) is a professional membership organization of agencies that evaluate and monitor charter schools. The association's mission is to achieve quality charter schools through responsible oversight in the public interest. NACSA is an entrepreneurial non-profit organization, providing an array of services to educators and school system leaders. The association establishes national standards for professional best practices, conducts a major annual conference, produces regular publications, organizes and implements state and regional training workshops, maintains a web site of professional resources and provides direct services under contract. NACSA's work is supported by a diversified revenue stream including program and membership fees, private and government grants, and contract revenues.

Achievements

- Under an on-going contract with the Louisiana Department of Education shortly after Hurricane Katrina, evaluated all proposals for new charter schools in New Orleans for the past three years.
- Developed Louisiana's first accountability framework for state charter schools. (2006)
- Evaluated proposals for new "turnaround schools," one of the Louisiana Department of Education's strategies for intervening in failing schools in communities outside of New Orleans. (2008 & 2009)
- With support from the U.S. Department of Education, published "Starting Fresh in Low-Performing Schools," a series of guides that provide effective strategies to state and district school leaders to turn around chronically low-performing schools. (2006)
- Developed a model legal contract for use by California charter school districts and their charter schools. (2007)
- Led the New Mexico Public Education Commission (its state education board) and its staff in the development of its strategic plan for charter schools and the redesign of its new school proposal evaluation process. (2007 & 2008)
- Entered into a 3-year agreement with the Denver Public Schools to provide technical, policy, communications support for the school district's new schools strategy. (2008)
- Worked with the New York City Department of Education to establish professional practices for evaluating and monitoring charter schools. (2005 & 2006)

- Secured $8 million in philanthropic grants from the Bill and Melinda Gates Foundation, Michael and Susan Dell Foundation, Donald and Doris Fisher Funds and Walton Family Foundation.
- Under a one-time contract for services, traveled to Abu Dhabi and developed the processes for the Supreme Education Council to transform its public education system around an autonomous, accountable school model.
- Implemented new organizational payroll, labor, and financial management systems. Created new and enhanced employee benefit programs for health care and mass transit. Established the organization's first comprehensive personnel policy manual.

Responsibilities

- In cooperation with the Board, provide strategic leadership for the association.
- Recruit, lead, manage, evaluate, retain and compensate staff.
- Secure new resources from contracts, grants and increased program activity.
- Allocate and manage resources to achieve association objectives, including finances, staff, consultants and volunteers.
- Personally represent the association across the nation, serving as an expert speaker and panelist at conferences and meetings.
- Serve as the primary liaison to news media.
- Serve as the primary liaison to the U.S. Department of Education and as the first point of contact for state departments of education.

Chicago Public Schools (CPS)

Chief Officer for New Schools Development, 2003 – 2005.

Director, Charter Schools Office, 1996 – 2003.

Legislative Liaison, 1994-1996.

Organization Description

The Chicago Public Schools (CPS) is the third largest school system in the United States, serving 400,000 students at more than 500 schools. As one of several improvement strategies, CPS established a Charter Schools Office in 1996 to support the creation and operation of new charter schools. In 2003, the lessons from the system's charter schools were replicated as the basis for a major, systemic reform initiative called "Renaissance 2010," the goal of which is to open 100 new public schools based upon the principles of school-level autonomy and high accountability for outcomes.

Achievements

- Provided overall leadership for CPS' charter school program, serving 12,000 students at 20 new schools. These schools performed at higher levels than traditional public schools on 86% of performance measures.
- Successfully initiated Renaissance 2010, establishing two new school models, "performance schools" and "contract schools" in addition to the existing charter school model. Formed and managed professional evaluation committees and community advisory councils to review school applications. Approved 9 performance schools and 8 charter schools to open.
- Developed pupil-based school funding models that supported school-level autonomy.
- Developed and implemented a nationally-recognized process for the evaluation of charter school applications, evaluating over 100 applications from 1996 to 2005.
- Developed and implemented a nationally-recognized, comprehensive charter school Accountability Plan that evaluates school performance annually through a combination of factors, including standardized tests, alternative assessments and audit results.
- Brokered the district's comprehensive legal agreement with the charter schools.
- Implemented the Board's capital loan program for charter schools – the first school district-funded program for charter school capital in the nation – and selected an independent financial institution to manage the program.
- Established building sharing relationships between charter schools and district schools in facilities owned by the school system.
- Spearheaded the school district's first financial guaranty of a charter school's debt for new school construction.
- Closed two non-performing charter schools.
- Founded the National Association of Charter School Authorizers and served as the organization's Board Chair from 2000 to 2005.

Responsibilities

- Worked cooperatively with all CPS departments to develop and implement charter and performance school education, finance and administrative policies.
- Monitored and annually reported upon each school's academic performance.
- Monitored and enforced school compliance with all relevant local, state and federal laws and codes.
- Monitored the schools' financial status through quarterly reports and annual audits.
- Represented the district on all charter school issues with news media, appearing repeatedly in print and on the air.
- Worked co-operatively with civic organizations to provide technical assistance to charter schools and charter school applicants.

State of Illinois

Legislative Analyst. State Senate Education and Appropriations Committees. 1991-1994.

Policy Analyst. Illinois Attorney General. 1990 – 1991.

Budget Analyst. Illinois Bureau of the Budget. 1989 – 1990.

Education

Master of Arts, Public Affairs. University of Minnesota – Twin Cities, 1989.
Bachelor of Science, Geography. University of Wisconsin - Madison, 1987.

Service

Current Board Service

- Business and Professional People in the Public Interest (Education Committee Chair)
- Haitian Development Fund
- Illinois Network of Charter Schools

Past Board Service

- Beverly Area Planning Association, (President)
- National Alliance for Public Charter Schools
- Mother McAuley High School
- St. Walter Elementary School, (President)
- Illinois Committee to Prevent Child Abuse

Personal

(b)(6) Interests include history, travel and baseball.

WILLIAM HAFT

(b)(6) williamh@qualitycharters.org

Teacher, attorney, and education leader with a combination of skills, training, and experience suited to improving public education through effective school development, evaluation and accountability.

ELEMENTARY & SECONDARY EDUCATION EXPERIENCE

National Association of Charter School Authorizers **Chicago, IL**
Vice President for Authorizer Development 2009-present
Responsible for management and delivery of authorizer development and evaluation services including development of a comprehensive authorizer evaluation framework.

Highlighted Experience: Developed and piloted authorizer evaluation framework; managed evaluation process for more than 50 charter applicants in Florida; developed model charter contracts for Florida, Louisiana and Missouri Boards of Education; budget, manage and deliver services for approximately $1 million/year in grants and contracts.

Prometheus Project, Inc.
Founder and Director 2005–2009
Provided strategic planning and implementation services to individual schools, school districts, government agencies, and educational organizations as an independent consultant for school evaluation, performance contracting, governance and management, and charter school authorizing.

Highlighted Experience: Provided school leadership and governance training to Charter School 37; school board governance retreat facilitator for the Colorado League of Charter Schools; provided business plan guidance for Arizona School for the Arts' successful grant application to the Charter School Growth Fund.

Selected Clients

Schools
- Arizona School for the Arts, Phoenix, AZ
- New Heights Academy, New York, NY
- Colorado League of Charter Schools

Public Agencies
- Colorado Department of Education
- Los Angeles Unified School District
- Mayor's Office of Indianapolis

Private Organizations
- Cambridge Education
- Edison Schools
- National Association of Charter School Authorizers

Democracy Prep Charter School **New York, NY**
Board of Directors 2007–2010
Served as Vice President of the Board and Chair of Academic Accountability for one of the highest performing public middle schools in New York City.

National Association of Charter School Authorizers **Alexandria, VA**
Associate Director 2002–2004

Third employee of a highly regarded not-for-profit membership association; established and developed professional services program including securing more than $3 million in foundation and federal grants.

Highlighted Experience: Developed three-year business plan; directed national conference program content; provided technical assistance, resource development and training to authorizers around the country:
➔ *Building Excellence in Charter School Authorizing II* (U.S. Department of Education, 3 years, national dissemination, $1.5 million)
➔ *Chartering for Excellence* (Pisces Foundation, 4 years, 3 states, authorizer resources and training, $1.6 million)

Vail Mountain School **Vail, CO**
Administrator, Teacher, and Coach 1987–1995
Chaired humanities department; taught humanities, Latin, and algebra in middle and high school grades; coached middle and high school soccer; faculty representative to the Strategic Planning team.

LEGAL EXPERIENCE

Hogan & Hartson, LLP **Washington, D.C.**
Attorney, Education & Government Relations Practice Groups 1999–2002
General research, counseling and litigation responsibilities for a variety of for-profit and not-for-profit clients.

Highlighted Experience: extensive litigation responsibilities for successful federal civil rights class action (*Gartrell v. Ashcroft*, 191 F. Supp.2d 23 (D.D.C. 2002)); drafted briefs on appeal to U.S. Court of Appeals, District of Columbia.

The Honorable Mary J. Mullarkey, Chief Justice, Colorado Supreme Court **Denver, CO**
Law Clerk 1998–1999
Researched and drafted decisions; drafted memoranda recommending grant or denial of petitions for certiorari. Researched and drafted *Booth v. Board of Education*, deciding constitutionality of Colorado's charter school law.

Bar and Practice Admissions

U.S. Court of Appeals for the District of Columbia	2001
U.S. District Court for the District of Columbia	2001
District of Columbia	2000
Colorado	1999

NEGOTIATION AND MEDIATION EXPERIENCE

Mediation Works Inc. **Cambridge, MA**
Training Consultant 1997–2001
Lead trainer for mediation and negotiation workshops for Connecticut College students, faculty, staff, and community members.

Harvard Program of Instruction for Lawyers **Cambridge, MA**
Teaching Assistant, Negotiation Workshop 1997–1999
Lead facilitator for week-long Negotiation and Advanced Mediation Workshops conducted annually for international group of professionals including judges, lawyers, businessmen, legislators, and diplomats.

Harvard Mediation Program **Cambridge, MA**
Training Director and Administrative Director 1996–1998
Planned and implemented forty-hour mediation training for law students and community members.

EDUCATION

Arizona State University, M. Ed. (Administration) 2006
Leadership for Educational Entrepreneurs Fellowship

Harvard Law School, J.D. *cum laude*, 1998
Harvard Negotiation Law Review, Editorial Board; Articles Editor
Harvard Mediation Program, Training Director; Administrative Director

Carleton College, B.A. Classical Studies, *magna cum laude*, 1986
Certificate of Superior Foreign Language Achievement: French

PUBLISHED WORK

Law Journals

- *More than Zero: the cost of "zero tolerance" and the case for restorative justice*, 77 Denver U.L. Rev. 795 (2000)
- *Charter Schools and the Nineteenth Century Corporation: a Match Made in the Public Interest*, 30 Ariz. State L.J. 1023 (1999)
- Note, *School Peer Mediation: Expectations & Evaluations*, 3 Harv. Negot. L. Rev. 213 (1998) (with E. Weiss)
- *Research Translation,* "Is Mediation a Fair way to Resolve Special Education Disputes?" 14 Neg. J. 183 (1998)

Other

- *The Terms of the Deal: A Quality Charter School Contract Defined*, Issue Brief (NACSA) (Jan. 2009)
- (Contributing author) *Charter School Law*, O'Neill, Paul T. (LexisNexis 2007)
- *The Charter Option*, Leadership Insider (National School Boards Association, Winter 2005) (with K. Schultz)
- *When It Really Matters: Charter Renewal Decisions at the State University of New York,* NACSA Issue Brief (February 2004)
- *Seizing the Charter Moment*, Education Standard (National Association of State Boards of Education, 2003) (with O. Tucker)

PRESENTATIONS

Frequent national presenter and panelist on charter schools and charter school authorizing

Curriculum Vita

Alex Medler

(b)(6)

303-554-5882 (Voice)

(b)(6)

alex@coloradokids.org

Education

University of Colorado, Boulder, Department of Political Science
Ph.D. Political Science, Emphasis in Public Policy and American Politics, 2008
Masters, Political Science, 2003
Institute for Educational Leadership, Education Policy Fellow, 1995
University of California Santa Cruz, B.A., (Politics), 1988
University of California Regents Scholar
Pacific Rim Scholarship Recipient
Honors for orals in politics

Professional Experience

Colorado Children's Campaign (CCC), Denver, CO, 2004- present. **Various Titles, Vice President for Research and Analysis, 2006-Present; Director of Policy, 2006; Director of K-12 Policy, 2004-2005.** Senior manager for Colorado's premier children's advocacy organization. Responsibilities include research, policy analysis, writing, fundraising, facilitation, project management, public and governmental relations. Supervising work of policy analysts and program staff in all substantive issues addressed by the CCC and strategizing for overall policy agenda, including work on early childhood education, K-12 education reform, children's health, child welfare, and fiscal reform. Recent projects include: identifying and promoting public understanding of Colorado's increasing childhood poverty rate; leading the Colorado Commission for High School Improvement; supporting grant-making, research and evaluation, technical assistance, and civic engagement that fosters improved accountability systems, new small schools, and charter schools; developing and applying interactive and dynamic cost models of major policy proposals including universal preschool, children's health insurance, and fiscal reform; building support for and policy infrastructure to increase the number of high quality new schools serving at-risk students.

Colorado Charter School Institute, Denver, CO, Board of Directors, Chair 2006-present, Board Member since 2004. Founding board member and currently board chair for Colorado's state-wide charter authorizing entity. Developed policies and procedures for establishment of new charter authorizer, including guiding principles, application review procedures, and initial staffing. Advocated the implementation of best practices as a model authorizer in Colorado and encouraged partnerships with stakeholders inside and outside Colorado's public education system.

University of Colorado Boulder, Political Science Department, Boulder, CO, 2001-present.
Teaching: Adjunct Professor, Critical Thinking: The Politics of Ideas, Spring 2009; Critical Thinking: Symbolic Politics, Fall 2009. Graduate Instructor, The American Congress, Fall 2004. Graduate Teaching Assistant, The American Presidency, Fall 2001, and Introduction to American Political Systems, Spring 2002.
Research Interests: Public Policy and American Politics. Education reform, charter schools, stability and change in public policy, governance of public institutions and services, theoretical and empirical analysis of coalition dynamics, including strategic use of ideational elements and positions on policy to affect long-term coalition strength in contested policy areas.

Medlers Consulting, Boulder, CO, 2001- 2005. **Co-founder, 2001-2005.** Founder and director of education policy consulting firm. Provided policy analysis, program evaluation, facilitation, and advice to policymakers and education reformers. Topics included: charter schools, school choice, accountability, education equity, civil rights, special education, governance of public institutions, and intergovernmental relations. Projects included: study of federal program implementation in Colorado; review of collective bargaining in school choice settings; and directing national initiative on all-charter school districts. Clients included: Education Commission of the States, Charter Friends National Network, Foundation for Educational Excellence, Colorado Children's Campaign, Rodel Foundation, and the Walton Family Foundation.

U.S. Department of Education (ED), Public Charter Schools Program (PCSP), Washington, DC, 1997-2001. **Various positions: Acting Team Leader/Director, 2001; Program Analyst, 1999 – 2001; Resident Expert, 1997 -- 1999.** Hired as "Expert Appointment" and later directed the federal government's primary program supporting and affecting public school choice. Department spokesperson and advisor to ED senior leadership and White House on charter school issues. As Director, led all activities of the PCSP. Program provided more than $190 million in FY 2001 to more than 1,000 schools in 34 states. Oversaw grant competitions and waiver processes serving states and schools. Designed and directed national activities to support charter schools. Advised and designed national research agenda and oversaw contracts and grants to government entities, state and national education associations, and research organizations. Helped redraft PCSP authorizing statue to better support accountability, quality, equity, and dissemination of successful practices among charter schools. Negotiated changes to the statute with Congress. Following passage of the Charter School Expansion Act of 1998, helped draft non-regulatory guidance and regulations.

Education Commission of the States (ECS), Denver, CO, 1992-June 1997. **Various positions: Policy Analyst, 1994-1997; Research Associate, 1993-94**; **Research Assistant, 1992-93.** Coordinated annual ECS assessment of the progress of education reform that included major policy changes in the states, national assessments of academic achievement, and summaries of research on school restructuring. Initiated, designed and helped secure funding for ECS efforts to study progress of education reform, charter schools, public school choice, and deregulation. Researched the development of charter school legislation and the characteristics of charter schools across the country. Co-directed the first national survey of charter schools. Facilitated meetings of bipartisan teams of state policymakers. Led teams of policymakers in developing locally-tailored agendas to foster collaboration among government agencies. Analyzed and synthesized various literature, legislation and data; designed, conducted and analyzed surveys.

Physicians for Social Responsibility (PSR), Washington, DC, 1991-92. **Research Analyst.** Researched U.S. Department of Energy (DOE) nuclear weapons production issues. Created technical assistance materials and educated activists on DOE health research and pending legislation. Wrote newspaper and magazine articles and official testimony. Tracked and developed legislation. Lobbied Congress directly and organized grassroots lobbying campaigns. Organized national speaker tours. Represented PSR before media, public officials, foundations and other organizations. Helped pass moratorium on nuclear testing and worked to stop production of nuclear weapons.

Military Production Network (MPN), Washington, DC, Spring 1991. **Event Coordinator.** Coordinated education and lobbying events for national coalition of organizations working on DOE nuclear weapons issues. Arranged and directed media and legislative training, press conference, congressional receptions, rally, and scheduling for approximately 100 activists to meet with over 60 key legislators, congressional staff and DOE leaders. Tracked legislation and designed coalition's legislative strategy.

Selected Publications

Dissertation

Alex Medler. *A Strategic Coalitions Frame: Conflict over Education Policy within and Between Coalitions*. Dissertation for Ph.D. in Political Science, University of Colorado Boulder, Department of Political Science. Successfully completed, summer 2008. Manuscript under contract for publication by Palgrave Macmillan, in series edited by Rick Hess for the American Enterprise Institute.

Book Chapters, Invited Articles, and Refereed Journals

Alex Medler. "Colorado: the Misapplication of Federal Power," *No Remedy Left Behind: Lessons from a Half-Decade of NCLB*. Frederick Hess and Chester Finn, editors. The AEI Press: Washington, DC. (2007).

Alex Medler. "Colorado: Layered Reforms and Challenges of Scale," *Leaving No Child Behind? Options for Kids in Failing Schools.* Frederick Hess and Chester Finn, editors. Palgrave Macmillan: New York. (2004).

Alex Medler, "The Charter School Movement: Complementing or Competing with Public Education?" *In: The Emancipatory Promise of Charter Schools: Towards a Progressive Politics of School Choice;* Eric Rofes and Lisa M. Stulberg, editors. SUNY Press: New York. (2004).

Alex Medler, "The Maturing Politics of Education Choice: Balancing Choice with the Goals of Public Education," *TC Record, Special Invited Online Edition on the Supreme Court's School Voucher Decision*, July 2002. (New York: Columbia Teachers College.

Johnson, Judith and Alex Medler, "The Conceptual and Practical Development of Charter Schools," *Stanford Law & Policy Review*, Spring 2000.

Medler, Alex and Michael Medler, "The 1996 Education Summit Calls for State Control of Education Standards," *Journal of Geography,* September/October, 1996.

Policy Reports, Education Trade Press, and Mass Media

Robert Reichardt and Alex Medler, "Designing a Useful Teacher Identifier," Commentary, *Ed News Colorado*, August 11, 2009.

Medler, Alex, "A New Title I: Support for Targeting Early Childhood," Letter to the Editor, *Education Week*, February 23, 2009.

Medler, Alex, "Turning Friedman on His Head to Improve School Reform," paper presented at the Annual Meeting of the American Educational Research Association, Chicago, IL, April 10, 2007.

Alex Medler, "Building Windows: The Strategic Manipulation of Frames and Policy Details to Create Opportunities for Change", paper presented at the Annual Meeting of the American Political Science Association, Washington, DC, Sept. 3, 2005.

Alex Medler, "Framing in Media Coverage of Charter Schools: Analysis and Implications for Journalists," Hechinger Institute for Education and the Media, Teachers College, Columbia University, New York, July 27, 2005.

Medler, Alex. "White paper: Systemic Political Strategy to Support Complex Education Reform," Colorado Children's Campaign, Denver, May 18, 2005.

Todd Ziebarth and Alex Medler, "Supplemental Education Services: State-level Implementation," policy white paper prepared for the U.S. Department of Education, July 2005.

Rodel Charitable Foundation of Delaware. *Opportunity Knocks: Assessing Delaware's Education System"* A needs assessment produced by the Chautauqua Education Group for the Rodel Charitable Foundation, July 2005 (contributing author).

Colorado Children's Campaign. *Raising the Bar: Policy Recommendations for High School Reform*, Colorado Commission for High School Reform, Colorado Children's Campaign, January 20, 2005 (project director).

Van Schoales, Alex Medler, and Alan Gotlieb, "Cole Takeover Should Teach a Lesson," Denver, Post, January 14, 2005.

Alex Medler and Todd Ziebarth, "Early Lessons about Vouchers," *Head First*, Public Education Business Coalition, Denver, CO, Fall, 2004.

Bryan Hassel and Alex Medler, *A New Bet for Better Schools: Diversifying Philanthropic Strategies to Improve Student Learning,* Grantmakers for Education & and the Philanthropy Roundtable, Portland, OR and Washington, DC, July 2004.

Alex Medler, "Charter Schools and Special Education," Charter School Leadership Council, Washington, DC, June 2004.

Alex Medler, "Drawing Early Lessons From Colorado's Voucher Experience," Education Commission of the States, Denver, CO, June 2004.

Alex Medler and Bryan Hassel, "Model Request for Proposals for Evaluating Chartered Schools," Education Evolving, St. Paul, MN: May 2004.

Alex Medler, "Implementing the No Child Left Behind (NCLB) Act in Colorado: Layered Reforms and Challenges of Scale," *Occasional Paper*, Colorado Small School's Initiative and the Colorado Children's Campaign, Denver, CO, March 2004.

Alex Medler, Todd Ziebarth and Bryan Hassel, "Collective Bargaining in Charter School Districts," Education Commission of the States, Denver, CO, February 2004.

Alex Medler, "Changing the Context for Colorado's Charter Movement," *Occasional Paper*, Colorado Small Schools Initiative and the Colorado Children's Campaign, Denver, CO, June 2003.

Alex Medler, "What lessons can the charter school movement learn from other social movements? And, "What is purpose of charter schools and the charter school movement?" Thought Papers for the Progressive Policy Institute (PPI), National Summit on Charter Schools. Meeting held in Charlottesville, VA, August, 2003.

Alex Medler, "Governance & Administration at the Pioneer Charter School," Walton Family Foundation and the Pioneer Charter School, Denver, CO: June 4, 2003.

Alex Medler and Bryan Hassel, "The New Holding Company: The Charter School District", *Head First,* The Public Education Business Coalition, Denver, CO, January 2003.

Alex Medler, Joy Fitzgerald, Amy Berk Anderson, Karen DeSchryver and Lucretia Peebles. *Colorado League of Charter Schools Accountability Plan Evaluation*, Colorado League of Charter Schools, Denver, CO, October 2002.

Author, Charter Friends National Network (CFNN), Special Education Working Group, "Recommendations for the Reauthorization of the Individuals with Disabilities in Education Act," CFNN, Aug. 2002.

Alex Medler, "Charter Schools: Exit or Off Ramp on the Road to School Vouchers", Paper presented at the 2002 Western Political Science Association Conference, Long Beach California, March 25, 2002.

Alex Medler, "What is the future of charter schools in Colorado: Education leaders present various perspectives on the charter school movement," *PRISM: School Choice.* Colorado Association of School Boards, Fall 2002.

Alex Medler, Bryan Hassel, and Marc Cittone, A Laboratory of Education Reform: Building a System of Charter Schools in Denver, Foundation for Educational Excellence, Denver, CO 2002.

Alex Medler, "The Federal Role in the Charter School Movement," *The School Administrator,* No. 7, vol. 56, August 1999.

Alex Medler, "Charter schools an enhancement, not a liability," *Register-Guard*. Eugene, OR, January 26, 1999.

Alex Medler, "Charter Schools Are Here to Stay*," Principal*, vol. 76, No 4, March 1997.

Alex Medler, *The Progress of Education Reform: 1996.* Denver, CO: Education Commission of the states, 1996.

Alex Medler, "Promise and Progress: a school leader's update on how charter schools are faring after their first five years." *The American School Board Journal*, vol. 183, No.3, March 1996.

Medler, Alex. "Deregulation not a Panacea," *State Education Leader*, vol. 14, no. 3. Denver, CO: Education Commission of the States, Fall 1996.

Alex Medler, *Bridging the Gap: School Reform and Student Achievement*. Denver, CO: Education Commission of the States. 1995.

Alex Medler and Joe Nathan. *Charter Schools: What are they up to? A 1995 Survey*. Denver, CO, and Minneapolis, MN: Education Commission of the States and Center for School Change, 1995.

Alex Medler, "Showing Progress: Data on Reform Show Results." *State Education Leader*, vol. 3, no. 3. Denver, CO: Education Commission of the States, Spring 1995.

Alex Medler, "Reconciling the Two Directions of Reform," *State Education Leader*, vol. 13, no. 3. Denver, CO: Education Commission of the States, Spring 1995.

Alex Medler, *Examples and Summaries of State Initiatives to Develop Goals, Standards and Outcomes.* Denver, CO: Education Commission of the States, 1994.

Alex Medler, *State-Level K-12 Education Reform Activities.* Denver, CO: Education Commission of the States, 1994.

Alex Medler, *Washington State's Schools' for the 21st Century.* Denver, CO: Education Commission of the States. 1993.

Newman, Frank, and Rexford Brown, (with Alex Medler and Suzanne Weiss*). Measuring the Progress of Systemic Education Reform*, Presentation made at the *Fortune* Education Summit, Washington DC, 1993.

Conference Participation and Invited Presentations

Alex Medler, "Mapping Complex Coalitions: Using Frames and Policy Positions to Identify Ideologues, Pragmatists, and Traditional Coalition Members in Conflict over Charter Schools, Paper presented at the Annual Meeting of the American Political Science Association, Toronto, Ontario, September 2009.

Alex Medler, "Turning Friedman on His Head: Does School Improvement Lead to School Choice?" Paper presented at the Annual Meeting of the American Educational Research Association, Chicago, IL, April, 2007.

Alex Medler, "Changing Minds and Opening Policy Windows in Colorado Education Politics," paper presented at the Annual Meeting of the American Political Science Association, Philadelphia, PA, Aug. 31, 2006.

Alex Medler, "Building Windows: The Strategic Manipulation of Frames and Policy Details to Create Opportunities for Change", paper presented at the Annual Meeting of the American Political Science Association, Washington, DC, Sept. 3, 2005.

Alex Medler, "Recommendations for Implementation of Cohort-Based Methods of Calculating Graduation and Dropout Rates," testimony before Colorado State Board of Education, Rifle, CO, August 11, 2005.

Alex Medler, "Policy Implications of Conflict Over Framing in the Charter School Movement," Progressive Policy Institute Forum, Progressive Policy Institute, Washington, DC, May 13, 2005. (Featured in Education Week, May 25, 2005.)

Alex Medler, "Charter Schools Competing or Complementing Public Education", Annual Meeting of the American Educational Research Association, Montreal, Quebec, April 11, 2005.

Alex Medler, "The Contested Framing of Charter Schools," Pacific Sociological Association, Portland, OR, April 8, 2005.

Alex Medler, with Todd Ziebarth and Bryan Hassel, "Deathbed Conversions," Charter Schools National Conference, Miami, FL, June 16, 2004.

Alex Medler, "Special Education in Charter Schools: Scenarios and Policy Implications," Charter Schools National Conference, Miami, FL, June 17, 2004.

Alex Medler, Bryan Hassel, and Todd Ziebarth, "Collective Bargaining and Teachers Unions in Charter Districts," Policy Forum, Progressive Policy Institute, Washington, DC, June 4, 2004.

Alex Medler, facilitator, "State Policy Responses to Low-Performing Schools Under NCLB: What is the Role of Charter Schools?" May 21, 2004. Denver, CO, Education Commission of the States.

Alex Medler, "Special Education Policy Issues in Charter Schools," Charter School Leadership Council, Regional Roundtable on Charter School Policy, Atlanta, GA, May 17, 2004.

Alex Medler. "Colorado's Implementation of the No Child Left Behind (NCLB) Act: Layered Reforms and Challenges of Scale," Presented at the Leaving No Child Behind: Options for Kids in Failing Schools Conference. Sponsored by the American Enterprise Institute and the Thomas B. Fordham Institute, January 15-16, 2004. (Featured on C-Span.)

Alex Medler, "State Support for Charter Schools: Changing Context in Colorado," invited presentation for the Commissioner of Education and Chairs of the Colorado State Board of Education, Denver, CO, November 2003.

Alex Medler, "The Non-profit sector in American Public Education," German Marshall Fund European Fellows Roundtable, Denver, CO, October 2003.

Alex Medler & Todd Ziebarth, "Charter School Districts in Colorado," Colorado League of Charter Schools, Annual Meeting, Denver, CO, October 2003.

Alex Medler, "Argumentation in the Charter School Movement," session chair and facilitator for the Progressive Policy Institute (PPI), National Summit on Charter Schools. Charlottesville, VA, August 2003.

Alex Medler, "Governance at the Pioneer Charter School," for the Walton Foundation and the Pioneer Public Charter School, Denver, CO, August 2003.

Alex Medler, "Collective Bargaining Issues in Charter School Districts," Education Commission of the States, All-Charter School District Network Meeting, Barnstable, MA, August 2003.

Alex Medler, "Putting School Choice in Perspective," Colorado Children's Campaign, Board Meeting, November 2002.

Alex Medler, "Trends in Federal Policy Affecting Charter Schools", Colorado League of Charter Schools, Annual Meeting, Denver, CO, October 2002.

Alex Medler, "Research and Policy Trends in School Choice," Presentation to the Board of the Public Education Business Coalition, Denver, CO, October 2002.

Alex Medler, Moderator, "Performance Based School Districts", National Association of Charter School Authorizers, 2002 Annual Meeting, San Antonio, TX, October 6, 2002.

Alex Medler, "Charter Schools: Helping or Hurting School Vouchers," Western Political Science Association 2002 Conference. Long Beach, CA, March 24, 2002, paper presentation.

Alex Medler, "Charter Schools: Exit or Off-ramp on the Road to School Vouchers," Midwestern Political Science Association, 2002 Conference. Chicago, IL, April 24, 2002, paper presentation.

Colorado League of Charter Schools and Colorado Department of Education. 2001 Colorado Charter Schools Conference, Denver, CO. November 2001. Panelist, "Lessons in Charter School Accountability", and presenter, "Understanding Federal Funding Opportunities."

University of Pittsburgh, Institute of Politics, Conference on "Charter Schools: What Are the Lessons Learned?" Pittsburgh, PA, December 7, 2001. Keynote address, "A National Report Card."

Consortium for Policy Research in Education, "Educational Issues in Charter Schools Conference," Washington, DC, November 12-13, 2001. Discussant, Charter School Innovations in Theory and Practice.

Public Service

Member, Board of Directors, National Association of Charter School Authorizers, a national trade association and public policy organization working to improve the oversight of charter schools, 2007 to present. Chair, External Affairs and Policy Committees.

Founding Board Member, Colorado Charter School Institute, the state-level charter school authorizing entity, August 2004-present. Board Chair since 2006.

University of Colorado Family Housing Day Care Center, Parent Advisory Board, participant, 2003-2005. (Urged formation of board following pattern of physical abuse and failure to report abuse by center staff and administrators.)

University of Colorado Boulder, Department of Political Science, American Faculty Recruitment Committee, graduate student representative, 2003-2004.

U.S. Department of Education, Public Charter Schools Program, Grant Reader, 2004.

U.S. Department of Education, Public Charter Schools Program, National Charter Schools Conference, NCLB Strand Committee Member, Spring 2004.

Colorado Department of Education, NCLB Supplemental Services Vendor Review, Expert Reviewer, 2004.

Professional Memberships

American Political Science Association
American Educational Research Association

Buckeye Institute for Public Policy Solutions, Columbus, Ohio. President; November, 2004 – June, 2009.

As president I designed and executed a strategic plan that significantly grew the Buckeye Institute's impact on policy, as well as its value to donors, by:

- *Focusing the Institute's mission, raising its objectives, driving alignment of research and policy proposals.* Under my direction the Buckeye Institute centered its work on returning prosperity to Ohio through freedom. I developed a comprehensive agenda of major reforms linked to prosperity, and built up the intellectual capital of research and commentary to promote each in the debates about Ohio's future.
- *Adding three actions centers to magnify the impact of our traditional policy work.* Today the Buckeye Institute houses a public interest lawyer, a public information advocate, and an investigative journalist, all promoting government for Ohioans that is constitutional, transparent and accountable.
- *Growing communications impact.* I made the penetration and persuasiveness of our ideas in the public debate a new priority for the Institute. We redesigned our products and writing standards to meet needs of key audiences, and developed new communications channels to better connected with them. I used a strategy where the Buckeye Institute 'became the media' and successfully utilized web 2.0 tactics to promote our work, such as our BuckeyeVoices podcast and YouTube channels, and social media sites. Dissemination of our ideas has increased as average daily visits to our website has grown from 35 to almost 1,000 a day, and our Twitter site has ranked as high as 75th nationally in our industry category for audience following.
- *Winning national recognition for our work.* Ohio has been chosen as the host of the 2010 national conference for the state think tank movement; *Miller v. ACORN* was covered in national media; our *Stowers v. Ohio Dept. of Agriculture* story has received over 110,000 viewings on YouTube; our Child-Centered Education Funding and Teacher Merit Bonus Pay plans have won awards from independent reviewers and are being copied in other states.
- *Repositioning the Buckeye Institute's image.* The Buckeye Institute today has won close consulting relationships with the Auditor, legislative leadership and leading candidates in statewide and local elections through my plan for awareness and confidence-building activities with opinion leaders. This year at least five major pieces of legislation are introduced or being drafted as a result of elected officials turning to the Buckeye Institute for needed policy solutions.
- *Building the Institute from* a one person project into an institution with six key team members (4 FT/2 PT) and a number of contracted associates.
- *Successful fundraising.* Revenue more than doubled, from $375,000 in 2004 to $830,000 in 2008. At the same time the donor base grew from 250 to over 1200 givers.

Ohio Manufacturers' Association, Columbus, Ohio. Managing Director of Public Policy Services; 2001-2004.

Directed all governmental affairs activities of Ohio's second largest corporate trade association.

- Led the design and execution of two major policy initiatives:
  - Elimination of two onerous taxes on manufacturing and capital formation, and awarded OMA's "Legacy Award" for this success;
  - Comprehensive reform of state tort laws, including landmark asbestos litigation reform.
- Positioned members' values and principles for government action at the center of the Association's policy agenda process, strengthening both member support and elected official respect for this agenda;
- Successfully organized the political resources of member businesses in support of Association policies in taxes, economic development, workforce development, energy, and workers compensation.

Greater Cleveland Growth Association. Cleveland, Ohio. Vice President, Government and Transportation; 1999-2000. As director of governmental affairs I contributed to growing the Association's value to members including:

- Integrated the Association's government affairs operations across several divisions into one function, uniting the clout of large business with the political legitimacy of small business;
- Led the Growth Association to greater political action including establishing a political action committee and making its first ever endorsements of pro-business candidates; and,
- Turned the Growth Association toward adopting greater responsibility for influencing government actions impacting members' bottom line including interventions in state utility deregulation decisions and local wage mandates.

Michigan State Senate. Lansing, Michigan. Chief of Staff of the Senate, Director of Majority Policy Office, Strategic Research Consultant; 1993-1998.

- Served the Majority Leader as the chief executive officer for the Senate. Responsible for formulating and enforcing senate administrative policy, acting as liaison with other government and outside interest groups, and initiating and coordinating special projects for the Majority Leader and the Majority Caucus.
- Advised the Majority Leader on legislation, policy and politics with the result that he was selected to run for Lt. Governor and effectively positioned for future runs for higher office.
- Responsible for legislative policy development of the Majority Caucus in the Senate. Managed a staff of twenty-four professionals and support staff that served members and committees. Responsible for several high-level legislative services including consultation on policy and legislative options, bill and amendment drafting, committee staffing, floor management of legislation and advice on legislative politics.

Public policy and political research consultant. Lansing, Michigan. Market Strategies, Inc. for domestic assignments; as a subcontractor to the International Republican Institute for international projects; 1993-1999.

- Contributed to growing democratic values with political parties and non-governmental organizations in Central and Eastern Europe, the former Soviet Union and the Middle East. Served as an advisor on building democratic legitimacy in public institutions, setting political and legislative agendas, and strengthening political accountability.
- Increased popular sovereignty in developing democracies by executing complex opinion research projects which gave voice to citizens' opinions and concerns.
- Directed political and public affairs research consulting services for several state, national and international clients including Ameritech, BellSouth, the American Forest and Paper Association, the Canadian Wood Council, Specter for President, the Michigan Senate and Teach Michigan.

George H.W. Bush Presidential Campaigns and Republican National Committee. Washington, D.C. Director of Strategic Information; Director of Opinion Research and Analysis; Deputy Director of Survey Research; 1988-1992.

- Designed and built strategic information systems for Bush-Quayle campaigns and White House political leadership. Assembled and managed the foundation of this system, a research office of nine analysts with a $3 million budget.
- Reported to Campaign and White House decision makers on findings from economic, elections, public opinion, geo-demographic and media content data. Consulted on campaign strategy, message and resource allocations, including advertising purchasing and Presidential travel.
- Designed and interpreted national and state survey data for campaign leadership. Consulted with state Bush-Quayle campaigns on strategies and tactics.

Minnesota House of Representatives. St. Paul, Minnesota. Committee Administrator; Policy Analyst; 1985-1988.

- Managed legislation on elections, gambling and veterans' affairs for the House General Legislation and Veterans Affairs Committee.

Education

- Graduate degree in Scandinavian literature and linguistics, 1983 - University of Bergen; Bergen, Norway
- Bachelor of Arts, 1980 - Williams College; Williamstown, Massachusetts (Economics major with concentrations in political science and sociology)

Sara Mead

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sara@bellwethereducation.org

Professional Experience

Bellwether Education, *Senior Associate*, February 2010—Present

- Analyze and develop policy solutions to support and expand the work of high-impact education organizations
- Through Bellwether's consulting practice, work directly with high-impact education organizations to build their capacity to serve low-income children

New America Foundation, Washington, D.C., *Director, Early Education Initiative*, July 2007—January 2010; *Acting Director, Education Policy Program*, June—August 2008

- Researched, developed, and promoted policy solutions to improve access, quality, and alignment in early education from birth through early elementary school
- Developed the initiative's policy, outreach, and research agendas; managed relationships with funders and stakeholders; and lead a three-person early education team

Education Sector, Washington, D.C.; *Senior Policy Analyst*, September 2005—June 2008

- Researched and wrote articles and reports on education policy issues
- As a member of Education Sector's founding staff team, worked with leadership and policy teams to develop research, policy, and publication agendas and to establish Education Sector as a respected and influential independent voice in education policy

Progressive Policy Institute, Washington, D.C.; *Policy Analyst*, January 2001—August 2005

- Researched, analyzed, and wrote about education legislation and research
- Managed grants and communications with foundation and individual donors
- Supervised research, administrative and intern staff for education project

U.S. Department of Education, Office of the Secretary, Washington, D.C.; *Confidential Assistant*, May 2000—January 2001

- Tracked education budget and tax issues and legislation and provided staff support for the Secretary of Education, White House officials, and senior department staff

Other Professional Activities

District of Columbia Public Charter School Board (September 2009—Present)
Board of Directors, Democrats for Education Reform (Summer 2007—Present)

Publications

Reports

- "A Next Social Contract for the Primary Years of Education," with Lisa Guernsey, New America Foundation, March 2010.
- "Education Reform Starts Early," New America Foundation, December 2009.

- “Public Charter Schools and High-Quality Pre-K,” Democrats for Education Reform, June 2009.
- “Building a Solid Foundation,” New America Foundation, May 2009.
- “Maximizing Reform in the Stimulus Bill: Supporting Effective Early Education,” with Michael Griffith, Education Commission of the States, May 2009.
- “10 New Ideas for Early Education in the 111th Congress,” New America Foundation, February 2009.
- “Changing the Game: The Federal Role in Supporting 21st Century Educational Innovation,” with Andrew J. Rotherham, Brookings Institution, October 2008.
- “Slipping Through the Cracks: Federal Investments in High-School-Aged Youth,” New America Foundation, October 2008.
- “Partners in Closing the Achievement Gap,” Democrats for Education Reform, March 2008.
- “10 New Ideas for Early Education in the NCLB Reauthorization,” New America Foundation, November 29, 2007.
- “A Sum Greater than the Parts: What States Can Learn from Each Other About Charter Schooling,” with Andrew J. Rotherham, Education Sector, September 2007.
- “Information Underload: Florida’s Flawed Special Education Voucher Program,” Education Sector, June 2007.
- "Million Dollar Babies: Why Infants Can't Be Hardwired for Success," Education Sector, April 2007.
- "Maintenance Required: Charter Schooling in Michigan," Education Sector, October 2006.
- "The Truth about Boys and Girls," Education Sector, June 2006.
- "Old Policies, New Ways to Fund Preschool," Education Sector, April 2006.
- "Challenged Index," with Andrew J. Rotherham, Education Sector, February 2006.
- "Capital Campaign: Charter Schooling in the District of Columbia," Progressive Policy Institute, October 2005.
- “Lifting Teacher Performance,” with Andrew Leigh, Progressive Policy Institute, April 2005.
- “Common Ground on Preschool,” Progressive Policy Institute, January 2005.
- “Open the Preschool Door, Close the Preparation Gap,” Progressive Policy Institute, September 2004.
- “Back to the Future: The History and Politics of Teacher Licensure and Certification,” with Andrew J. Rotherham. In: *A Qualified Teacher in Every Classroom?* Frederick M. Hess, Andrew J. Rotherham, and Kate Walsh, eds. Cambridge, MA: Harvard Education Press. 2004.
- “Think Twice: Special Education Vouchers Are Not All Right,” with Andrew J. Rotherham. Progressive Policy Institute, June 2003.
- “Building a Third Way on School Construction,” Progressive Policy Institute, November 2002.
- “Early Returns: Tax Credit Bonds and School Construction?” Progressive Policy Institute, September 2002.
- “School Construction,” Progressive Policy Institute, June 2001.
- “The Use of Volume Standards in Health Services,” with John C. Wheeler, Kristin L. Reiter, Jeffrey H. Burkhardt, Gerald R. Bushee, and Jonathan H. Sunshine, *Quality Management in Health Care*, 9:4, Summer 2001.

Articles and Commentary

- "The Case for Building Schools," *Washington Independent*, January 2009.
- "Obama's $10 Billion Early Childhood Education Pledge," *Washington Times*, December 2008.
- "A Foundation for Success," *American School Board Journal*, November 2008.
- "Continuing the Investment," *The American Prospect*, December 2007.
- "Long Division," *Guardian* Unlimited, November 26, 2007.
- "A Tangled Web," *Guardian* Unlimited, October 16, 2007.
- "Putting Education on the '08 Agenda," *The American Prospect* online, October 2, 2007.
- "A Rank Exercise," With Andrew J. Rotherham, *washingtonpost.com*, June 22, 2007.
- "New Deal for Urban Public Schools," with Andrew J. Rotherham, *Harvard Law and Policy Review*, April 2007.
- "Three Is Not a Magic Number," *Guardian* Unlimited, April 9, 2007.
- "Easy Way Out: Restructured Usually Means Little Has Changed," *Education Next*, Winter 2007.
- "Clean Up This Mess!" with Thomas Toch, *The Washington Post*, October 2, 2006.
- "Gender Gap isn't Biggest Woe," *USA Today*, July 11, 2006.
- "Now It's Time to Work on an Effective Preschool Program," *The Mercury News*, June 2006.
- "Checklist for Charter Schools," *The Washington Post*, January 22, 2006.
- "Rethinking Teacher Pay," with Andrew J. Rotherham. National Association of School Boards *Leadership Insider*, November 2003.
- "Teacher Quality: Beyond No Child Left Behind. A Response to Kaplan and Owings (2002)," with Andrew J. Rotherham. *NASSP Bulletin*, Vol. 87 No. 635 June 2003.

Book Reviews

- "The Case for Pre-K," (a review of *The Sandbox Investment*, by David Kirp), *The American Prospect* online, July 18, 2007.
- "Laying an Education Foundation," (a review of *Building Blocks*, by Gene Maeroff), Education Sector, November 2006.
- "Blackboard Journey," (a review of *Teacher Man*, by Frank McCourt), Education Sector, January 2006.
- "Putting Vouchers to the Test," (a review of *The Education Gap*, by William Howell, Paul Peterson, Patrick Wolf and David Campbell) BLUEPRINT, September/October 2002.

Interviews

- "Teachers Unions as Agents of Reform," (interview with Brad Jupp), Education Sector, April 2006.
- "Education Reform Lessons from England (interview with Sir Michael Barber), Education Sector, January 2006.

Blogging

Early Ed Watch, http://www.earlyedwatch.org, January 2008-January 2010
The Quick and the Ed, http://quickanded.com, February 2006-July 2007

Education

Vanderbilt University. Nashville, Tenn. Bachelor of Arts, May 2000.
Major: Public Policy; Honors: Summa Cum Laude, Phi Beta Kappa, Dean's Select Scholar

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EXPERIENCE

TUGBOAT EDUCATION SERVICES, New York, NY
President & Founder, August 2008 -- present

Founder and President of Tugboat Education Services, an advisory organization that provides high quality regulatory expertise to education organizations engaging in reform. It identifies, prevents and solves problems relating to the rules that surround and define, restrict and often empower not-for-profit, private, and governmental education organizations. www.tugboateducation.com

COHEN SCHNEIDER LLP, New York, NY
Of Counsel, August 2008 -- present

Of Counsel to boutique law firm featuring a unique practice group dedicated to all aspects of Education Law. www.nyeducationlawyers.com

EDISON LEARNING, INC., New York, NY
Senior Fellow, July 2008 -- present
Chief Regulatory Officer, December 2007- July 2008
Senior Vice President & Acting General Counsel, May 2007 – September 2007
Senior Vice President & Deputy General Counsel, July 2006 – May 2007
Senior Vice President & Senior Counsel, November 2004 – July 2006

Served as senior executive, head education lawyer and Chief Regulatory Officer for company that serves as one of the leading providers of services to public school districts and to parents of public school students. Edison is also the largest private manager of public schools in the nation. It serves more than 285,000 students in 19 states and the United Kingdom. Currently serve as a Senior Fellow in an advisory capacity.

BRUSTEIN & MANASEVIT, Washington, D.C.
Of Counsel, March - November 2004

Of Counsel to boutique education law firm focusing on federal regulatory and civil rights law and legislation. Advised states, districts, charter school authorizers and schools as well as not-for-profit and for-profit organizations on a wide range of education law issues, including those relating to charter schools, special education, the federal No Child Left Behind Act, and high stakes testing.

CHARTER SCHOOLS INSTITUTE, STATE UNIVERSITY *of* NEW YORK, New York, NY
General Counsel, 2001 – 2004

Served as General Counsel, with responsibility for all legal needs of one of the nation's leading charter school authorizers. Provided legal advice to SUNY Trustees, Institute staff, support organizations and individual schools; utilized and managed outside counsel; drafted, revised and reviewed contracts; conducted investigations; interacted with other branches of government regarding issues impacting charter schools.

WILLKIE, FARR & GALLAGHER, New York, NY
Staff Associate, 1998 - 2001

As an attorney in the firm's Litigation Department, engaged in general litigation practice, with a focus on Environmental Insurance Litigation and Bankruptcy Litigation. Duties regularly included drafting trial and

appellate pleadings, taking depositions, selecting and preparing expert witnesses, negotiating settlements, submitting and defending claims objections, managing junior associates and support staff.

Pro bono and related work:

Provided legal and related advice to numerous local and national organizations concerning special education, assessment and charter school issues.

THE NEWGRANGE SCHOOL & EDUCATIONAL OUTREACH CENTER, Princeton, NJ
Associate Director, 1997 - 1998

Served as Associate Director and counsel for non-profit institution in central New Jersey with a school in Trenton and an educational outreach center in Princeton, both of which serve individuals with learning disabilities, their families and teachers. Supervised staff, directed fund development, marketing, public relations, grant and proposal writing, creation of newsletters and annual reports, creation of website, assessment and review of policies, laws and current education and special education legislation. Achieved fund raising revenue increase of more than 70% from previous year.

DEWEY BALLANTINE LLP, New York, NY
Associate, 1993-1997

Within Litigation Department practiced in a wide range of areas, primarily Environmental Insurance Coverage, Antitrust and Contract. Created ongoing firm-wide Historic Preservation Law pro bono program in conjunction with the National Trust for Historic Preservation and the Preservation League of New York.

EDUCATION

TEACHERS COLLEGE, COLUMBIA UNIVERSITY, New York, NY
M.Ed. in Educational Administration with inter-disciplinary concentrations in Education Law, Education Policy and Special Education, 2001

UNIVERSITY *of* VIRGINIA SCHOOL *of* LAW, Charlottesville, VA
J.D., 1993

- Articles Editor, *Journal of Law & Politics*

OBERLIN COLLEGE, Oberlin, OH
B.A. in English, 1986

UNION COUNTY COLLEGE, Cranford, NJ
A.A. in Liberal Arts with Fine Arts Concentration, 1984

PROFESSIONAL AFFILIATIONS

- Admitted to Practice: New York State and the federal courts of the Southern and Eastern Districts of New York
- Chair, Board of Trustees, Manhattan Charter School, NY, NY
- Co-founder and Advisory Board member, Alliance of Public Charter School Attorneys
- Professional Advisory Board, National Center for Learning Disabilities
- Chair, Education & the Law Committee, New York City Bar Association, 2005-2007
- Co-Founder and Founding Trustee, Family Life Academy Charter School, Bronx, NY
- Executive Committee, New York Coalition of Charter Schools
- NCLB Advisory Board; National Association of Charter School Authorizers
- Editorial Board, IDEA Compliance Insider
- Trustee, Learning Disabilities Association of New York City (1997 - 2003)
- Trustee & Professional Advisory Board, Smart Kids with Learning Disabilities 2001 - 2007

- Member: Association of the Bar of the City of New York; Learning Disabilities Association of America

ACADEMIC APPOINTMENTS

TEACHERS COLLEGE, COLUMBIA UNIVERSITY, New York, NY
Adjunct Assistant Professor, September, 2001- present

[http://gogo.tc.columbia.edu/faculty/index.htm?facid=pto2]

- Designed and regularly teach graduate course entitled "*Designing Charter Schools*" focusing on the creation an operation of high quality charter schools. Also designed and regularly teach course entitled "*Introduction to Special Education Law*" focusing on core legal and policy issues impacting schools under federal and New York State special education laws
- Periodically serve on faculty of Columbia's annual, week-long *School Law Institute*
- Serve on faculty of the *Education Policy Studies Center* at Teachers College

VARIOUS UNIVERSITIES
Guest Lecturer

- Regularly serve as a guest lecturer at U.S. graduate schools on wide range of education law issues; Recent presentations have addressed the No Child Left Behind Act (Georgetown University Law Center; University of Virginia School of Law, Columbia Law School), Title IX (University of Wisconsin at Madison), Special Education (Columbia Law School & Teachers College); Charter Schools (Harvard University; University of Virginia's Curry School) Educational Entrepreneurship (Columbia Business School).

PUBLICATIONS

Books

- The Charter School Law Deskbook 2008-2009 (unique compilation of and guide to the legal authorities impacting charter schools nationwide) Lexis Nexis Publications, first published December 2007; Second edition, March 2009
- The NCLB Compliance Manual, (comprehensive desk reference for administrators and others concerned with the federal No Child Left Behind Act) Brownstone Publishers, first published May, 2004; Second edition, LRP Publications, May 2007

Major Articles

- "The Unique System of Charter Schools in New Orleans After Hurricane Katrina: Distinctive Structure, Familiar Challenges," *Loyola University New Orleans Journal of Public Interest Law*, *forthcoming, Spring 2010* (co-authored with Renita Thukral)
- "Maximizing Effectiveness: Focusing the Microscope on Charter School Governing Boards,"(co-authored with Priscilla Wohlstetter, Joanna Smith and Caitlin Farrell), National Resource Center on Charter School Finance & Governance, Spring, 2009
- "Transforming Public Schooling Through Effective Portfolio Management," National Association of Charter School Authorizers, Monograph, Fall, 2008
- "High Stakes Testing Law & Litigation," *BYU Education & Law Journal,* Vol. 2003, No. 2, July, 2003
- "Serving Students with Disabilities in Charter Schools: Legal Obligations and Policy Options," *Education Law Reporter,* Vol. 169, November, 2002, (lead author; co-authored with Richard J. Wenning and Elizabeth Giovannetti)
- "Special Education and High Stakes Testing for High School Graduation: An Analysis of Current Law and Policy," *Journal of Law & Education,* Vol. 30(2) April, 2001

APPENDIX X

NACSA BOARD OF DIRECTORS

National Association of Charter School Authorizers

5/14/2010

Board of Directors
2010

Josephine Baker **Executive Director,** ***District of Columbia Public Charter School Board***
Jo Baker served as the first chairperson of the District of Columbia Public Charter School Board from 1997 until 2002, bringing her deep educational knowledge and leadership to the founding Board. She was asked to assume the Executive Director position in the summer of 2002. As Executive Director, Jo's primary focus is implementation of the D.C. charter school law. Her organization is the sole authorizer of charter schools in the district, where 28% of the public school students attend charters.

Carol Barkley **Former Director,** ***Charter Schools Division, California Department of Education***
Carol Barkley recently retired as the Director of the California Department of Education's Charter Schools Division, a position she held since 2008. At the Department, Carol directed the review of charter school petitions and appeals submitted to the State Board of Education on behalf of hundreds of authorizers. In addition, the division provides policy leadership and technical assistance for the creation and operation of high-quality charter schools and provides direction for the policy development and implementation of a $108 million federal charter schools grant program.

Jonas Chartock **Executive Director,** ***The State University of New York Charter Schools***
As the Executive Director of SUNY's Charter Schools Institute, the nation's largest university-affiliated charter school authorizer, Jonas Chartock is responsible for the creation of up to 100 public charter schools and the ongoing evaluation of 58 public charter schools currently serving more than 18,000 students. Prior to his current position at SUNY, Jonas founded the Charter School Policy Institute in Austin, Texas, where he continues to provide strategic leadership and directs programs providing web-based policy and research.

Jim Goenner **Executive Director,** ***The Center for Charter Schools at Central Michigan University***
Jim Goenner has served as Executive Director of The Center for Charter Schools at Central Michigan University (CMU) since 1998, and he formerly served as the founding president of the Michigan Association of Public School Academies. Jim has been instrumental in establishing the Michigan Council of Charter School Authorizers which he chairs, and is a founding board

member of NACSA. Under Jim's leadership, CMU has pioneered new initiatives for overseeing and supporting charter schools, leading CMU to be recognized as the gold standard of charter school authorizing.

Garth Harries **Assistant Superintendent for Portfolio and Performance Management,** ***New Haven Public Schools (Connecticut)***

Garth Harries was appointed Assistant Superintendent for Portfolio and Performance Management in New Haven Public Schools in Connecticut in 2009. Previously, Garth was Chief Executive for Portfolio Development at the New York City Department of Education. Harries also served as CEO of the Office of New Schools, creating 269 new small secondary schools and 63 charter schools between 2003 and 2008.

Fredrick Hess **Resident Scholar and Director of Education Policy Studies,** ***American Enterprise Institute***

As the Resident Scholar and Director of Education Policy Studies at the American Enterprise Institute, Rick Hess studies a range of K-12 and higher education issues. He is an educator and political scientist and has authored influential books such as *Common Sense School Reform*, *Revolution at the Margins*, and *Spinning Wheels*. He is executive editor of *Education Next*, a faculty associate with Harvard's Program on Education Policy and Governance, and he serves on the review board for the Broad Prize in Urban Education.

Hosanna Mahaley Johnson **Executive Director, Social Justice and District Innovation**, ***Wireless Generation***

Hosanna Mahaley Johnson is Executive Director of Social Justice and District Innovation for Wireless Generation, a leading education organization that develops innovative technology-based solutions to address Pre K–12 teaching and learning challenges. In this role, Hosanna serves as senior partner and adviser to school systems working with Wireless Generation, ensuring that these collaborations help to measurably advance district plans for improving student achievement.

James Peyser **Managing Partner,** ***NewSchools Venture Fund***

Jim Peyser is the Managing Partner at NewSchools Venture Fund, where he brings to bear a strong hybrid background in education policy, charter school development and business management to lead NewSchools' East Coast initiatives. From 1999 through 2006, Jim served as Chairman of the Massachusetts Board of Education, where he helped shape outcomes-focused policy at the state level on standards, charter schools and school accountability. He also spent more than seven years as Executive Director of Pioneer Institute for Public Policy Research, where he supported public education innovations, including early charter schools.

Justin Testerman **Director of Education Programs, *Volunteers of America of Minnesota***

Justin Testerman is Director of Education Programs for Volunteers of America of Minnesota. VOA runs three contract alternative schools with the Minneapolis school district, an adult basic education program, and the nation's first non-profit charter school authorizing program. Justin began his career in education as a middle school teacher in Newark, New Jersey through the Teach for America program. Justin came to Volunteers of America of Minnesota in 2001 to create the charter school authorizing program, which currently authorizes 15 schools around the state and has been recognized nationally for its work.

APPENDIX XI

TIMELINE AND STAFF ALLOCATION

National Association of Charter School Authorizers

5/14/2010

FEDERAL GRANT ACTIVITIES, MILESTONES & DELIVERABLES

OBJECTIVE 1:	**Document the effective policy and practices of model authorizers in performance management, replication and closure**

Activity/Deliverable	Due Date	Owner
FINALIZE SELECTION OF MODEL SITES		
List of Model Sites	10/1/2010	NACSA
CONDUCT RESEARCH ON MODEL SITE PRACTICES		
Report on research into Model Practices	7/1/2011	Bellwether
CONDUCT RESEARCH ON MODEL SITE POLICIES		
Report on research into Model Policies	7/1/2011	Tugboat
CONDUCT AUTHORIZER EVALUATION OF MODEL SITE PRACTICES AND PORTFOLIO QUALITY		
Authorizer Evaluation report on each model site	7/1/2011	NACSA
SUMMARIZE RESEARCH INTO COMPREHENSIVE REPORT		
Comprehensive Report of Year One Research	9/15/2010	NACSA

OBJECTIVE 2:	Develop a research-based and integrated set of model policies and practices with the support of a National Advisory Panel.	
Activity/Deliverable	**Due Date**	**Owner**
CONVENE NATIONAL ADVISORY PANEL (NAP) FOR REVIEW OF REPORT ON INITIAL RESEARCH AND MODEL POLICIES AND PRACTICES		
Meeting of National Advisory Panel	9/15/2011	Aspen
DEVELOP COMPREHENSIVE MODEL AUTHORIZER POLICIES TO PILOT AT DEMONSTRATION SITES		
Initial model authorizer policy resources for authorizing boards	10/1/2011	Tugboat
Initial model authorizer policy resources for State Departments of Education	10/1/2011	Tugboat
Initial model authorizer policy resources for state lawmakers	10/1/2011	Tugboat
DEVELOP MODEL AUTHORIZER PRACTICES TO PILOT AT DEMONSTRATION SITES		
Model authorizer practice resources for authorizers	10/1/2011	NACSA

Objective 3	Pilot the framework at four demonstration sites, document implementation achievements and challenges, and refine framework as needed.	
Activity/Deliverable	**Due Date**	**Owner**
IDENTIFY DEMONSTRATION SITES		
List of Demonstration Sites	7/1/2011	NACSA
CONDUCT AUTHORIZER EVALUATION OF EACH DEMONSTRATION SITE		
Authorizer Evaluation report on each demonstration site	10/1/2011	NACSA
CONDUCT GAP ANALYSIS OF AUTHORIZER POLICIES FOR EACH DEMONSTRATION SITE		
Gap analysis on model policies for each demonstration site	10/1/2011	Tugboat
TRAIN CORE GROUP OF CONSULTANTS ON MODELS		
Training of project implementation consultants	12/1/2011	NACSA
DEVELOP IMPLEMENTATION PLAN PROPOSALS FOR EACH DEMONSTRATION SITE AND AWARD SUBGRANTS FOR EXECUTION		
Implementation plans from each demonstration site completed	12/1/2011	NACSA
Implementation grants awarded through The Fund for Authorizing Excellence	1/15/2012	NACSA

IMPLEMENT MODELS AT DEMONSTRATION SITES		
Implementation plans launched at each demonstration site	2/1/2012	NACSA
CONVENE NATIONAL ADVISORY PANEL AND REPRESENTATIVES OF DEMONSTRATION SITES TO REVIEW IMPLEMENTATION AND REFINEMENT OF SUPPORTS		
Meeting of National Advisory Panel	9/15/2012	Aspen
REFINE AND FINALIZE MODEL PRACTICES AND PREPARE FOR DISSEMINATION		
Final model authorizer practice resources for authorizers	10/1/2012	NACSA
REFINE AND FINALIZE MODEL POLICIES AND PREPARE FOR DISSEMINATION		
Final model authorizer policy resources for authorizing boards	10/1/2012	Tugboat
Final model authorizer policy resources for State Departments of Education	10/1/2012	Tugboat
Final model authorizer policy resources for state lawmakers	10/1/2012	Tugboat

OBJECTIVE 4	DISSMENIATE PROMISING PRACTICES TO AUDIENCES WITH DIRECT AUTHORITY TO INFLUENCE CHANGE IN CHARTER SCHOOL AUTHORIZING	
Activity/Deliverable	**Due Date**	**Owner**
DEVELOP PLAN FOR COORDINATION OF DISSEMINATION OF MODELS AND FINDINGS THROUGH MULTIPLE CHANNELS TO MULTIPLE AUDIENCES		
Dissemination Plan	11/1/2012	NACSA
PUBLISH FINAL MODELS AND PROJECT RESEARCH		
Published final models and initial research	12/1/2012	NACSA
DISSEMINATION OF MODELS TO KEY AUDIENCES		
Dissemination of models to authorizers (start)	12/1/2012	NACSA
Dissemination of models to State Departments of Education (start)	12/1/2012	CCSSO
Dissemination of models to policy advocates and analysts (start)	12/1/2012	Bellwether
Two national meetings of policy makers and education leaders (completed)	7/1/2013	Aspen

EVALUATION ACTIVITIES		
Ongoing Documentation - Summary of Year 1 Observations	9/1/2011	Bellwether
Ongoing Documentation – Summary of Year 2 Observations	9/1/2012	Bellwether
Ongoing Documentation – Final Report on Observations/Findings	9/1/2013	Bellwether
Project Evaluation	9/15/2013	University of Colorado Denver

In addition, in the spring of each project year (2011-13), NACSA will conduct its annual survey of the nation's authorizers. This data will both inform and be shaped by the proposed work and its final evaluation.

ALLOCATION OF NACSA STAFF TO PMRC PROJECT (in % of FTE)

NACSA Staff	Objective 1			Objective 2			Objective 3			Objective 4			Evaluation		
	Y1	Y2	Y3	Y1	Y2	Y3	Y1	Y2	Y3	Y1	Y2	Y3	Y1	Y2	Y3
President & CEO	3			2			5	10				5			
Chief of Staff	3			2			5	10				5			
Project Director	20			30			40	80				80	10	20	20
Vice President, Authorizer Development	5			5			10	15				5		5	
Vice President, External Affairs												10			
Vice President, Policy and Research															5
Administrative Support Staff	5			5			5	10				10			

APPENDIX XII

OTHER LETTERS OF COMMITMENT AND SUPPORT

National Association of Charter School Authorizers

5/14/2010

CCSSO
Council of Chief State School Officers

ONE MASSACHUSETTS AVENUE, NW, SUITE 700 • WASHINGTON, DC 20001-1431
202 336 7000 TEL • 202 408 8072 FAX
WWW.CCSSO.ORG

May 13, 2010

Mr. Greg Richmond
President and CEO
National Association of Charter School Authorizers
105 W Adams Street, #3500
Chicago, IL 60603-6253

Dear Mr. Richmond,

I am pleased to know that the National Association of Charter School Authorizers is submitting an application for a grant under the Charter Schools Program: National Leadership Activities. Please feel free to forward this letter along with your application to demonstrate CCSSO's support and endorsement of your proposed activities.

I understand that you are interested in working to strengthen state and local capacity to hold charter schools accountable through well-designed performance management systems and to align those systems with policies and practice to close low-performing charter schools and to replicate existing successful charter schools. This is important and necessary work that will be extremely valuable to chiefs and their state education agencies.

It is laudable that you will be zeroing in on developing supports for authorizers to set high performance standards for charter schools, tie these performance standards to decisions about the status of charter schools, and set up ways authorizers can replace low performing charter schools.

CCSSO has a vested interest in all schools setting high standards, in all schools providing equal access to all children regardless of circumstance, and holding charter schools to the same high standards of other public schools. This project will aid our work in this area.

We are eager to see the results of your work with the confirmed state education departments and other agencies. Upon review, we will be pleased to disseminate your work and findings to our full. Based on your proposal overview, it appears that the model policies and practices will be a valuable contribution to share across the country and we look forward to seeing how the work unfolds over the next few years.

Best regards,

Gene Wilhoit
Executive Director

cc: Susan Taylor
Adam Ezring

TOMMY G. THOMPSON, CHAIRMAN

ROY E. BARNES, CHAIRMAN

COMMISSION ON
NO CHILD LEFT BEHIND
THE ASPEN INSTITUTE
www.nclbcommission.org

May 13, 2010

Mr. Greg Richmond
President & CEO
National Association of Charter School Authorizers
105 West Adams Street, Suite 3500
Chicago, Illinois 60603

Dear Greg:

I am writing to express the commitment of the Aspen Institute's Commission on No Child Left Behind to the *Creating Quality Charter Schools through Performance Management, Replication and Closure Project* ("PMRC") that the National Association of Charter School Authorizers (NACSA) is submitting to the United States Department of Education.

As part of the PMRC project, we will convene and facilitate the discussions and deliberations of the project's National Advisory Panel and engage the Commission's network to assist in the dissemination of the project's results to key education and policy leaders to inform their work in the charter school sector and broader school improvement agenda.

We share NACSA's goal to address critical areas of performance management, replication and school closure to build capacity for quality authorizing and increase the number of quality charter schools across the nation. We are pleased to support this proposal.

We look forward to partnering with NACSA on this effort.

Sincerely,

Gary Huggins
Executive Director

1 DUPONT CIRCLE, NW • SUITE 700 • WASHINGTON, DC 20036-1133
PH 202.736.5800 • FAX 202.736.1070

BELLWETHER
EDUCATION PARTNERS

May 12, 2010

Mr. Greg Richmond
President & CEO
National Association of Charter School Authorizers
105 W. Adams Street, Suite 3500
Chicago, Illinois 60603

Dear Mr. Richmond:

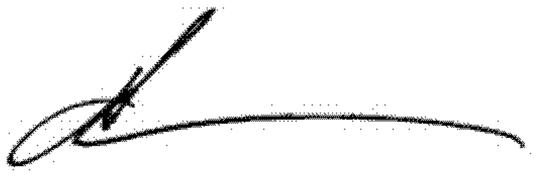
I am writing to express Bellwether Education Partners' support for and commitment to the *Creating Quality Charter Schools through Performance Management, Replication and Closure Project* ("PMRC") that the National Association of Charter School Authorizers (NACSA) is submitting to the United States Department of Education.

Bellwether Education Partners is a national non-profit organization dedicated to building a robust community of innovative, effective and sustainable change agents who are committed to dramatically accelerating the achievement of low-income students. Bellwether is committed to participating in this project to improve the quality of charter school authorizing.

As part of the PMRC project, we will document model authorizing practices in the areas of performance management, replication and school closure to support more authorizers in implementing model practices in these areas, which are at the core of quality authorizing. NACSA seeks both to build capacity for quality authorizing in a group of authorizers with whom it will work directly and to identify and disseminate lessons learned from this work to build the base of knowledge in the broader authorizing field. The model practices developed as a result of this project will enhance the practices of authorizers, increasing the number of quality charter schools across the nation.

We look forward to partnering with NACSA on this effort.

Sincerely,



Andrew J. Rotherham
Co-founder

National Association of State Directors of Special Education, Inc.
King Street Station I, 1800 Diagonal Road, Suite 320, Alexandria, VA 22314
Tel: 703/519-3800 Fax: 703/519-3808 TDD: 703/519-7008 www.nasdse.org

May 11, 2010

Alex Medler
VP, Policy and Research
National Association of Charter School Authorizers
105 W. Adams St.
Suite 1430
Chicago, IL 60603

Dear Mr. Medler:

The National Association of State Directors of Special Education (NASDSE) is pleased to write in support of the application from the National Association of Charter School Authorizers (NACSA) to the U.S. Department of Education's Public Charter Schools Program. NASDSE shares NACSA's commitment to ensuring that all charter schools effectively and appropriately serve all students, and that all students, including those with disabilities, have equal access to charter schools.

Charter school authorizers through their policies and practices can dramatically impact these goals. The establishment of clear performance expectations for each school and the effective monitoring of these expectations can go a long way to remedy issues plaguing the charter sector. By focusing on the important oversight role of authorizers to ensure equal access and quality of service for students with disabilities, NACSA is addressing a key area of weakness in charter school authorizer practices.

We look forward to our continued work with NACSA on our shared objectives. We wish you success with this valuable project application.

Sincerely,

Bill East

Bill East, Ed.D.
Executive Director

National Alliance for Public Charter Schools

Tel 202-289-2700
Fax 202-289-4009
www.publiccharters.org

May 13, 2010

To Whom It May Concern:

The National Alliance for Public Charter Schools (the Alliance) is pleased to write in support of the application from the National Association of Charter School Authorizers (NACSA) to the U.S. Department of Education's Public Charter Schools Program. The Alliance shares NACSA's commitment to the growth in the number of quality charter schools and the role of authorizers in ensuring that quality.

NACSA and the Alliance have a long history of joining forces in the name of improving quality. These joint efforts have included a state-focused effort to improve charter school accountability in Ohio and a partnership in a federally-funded initiative to create common frameworks for academic and operational performance.

We are pleased that NACSA and its project partners are focusing on the critical issue of performance management and how it drives better strategies to close low performing schools and replicate high performing ones. This work will be complementary to the Alliance's continued work to improve the environment for the creation of high-quality charter schools.

We look forward to our continued work with NACSA on our shared objectives. We urge the Department of Education to fund this valuable project.

Sincerely,

Nelson Smith

President and CEO

National Alliance for Public Charter Schools

TUGBOAT EDUCATION SERVICES

312 Maolis Avenue
Glen Ridge, New Jersey 07028
Ph: 914 772-5528
Fx: 212 419-1868
www.tugboateducation.com

May 6, 2010

Mr. Greg Richmond
President & Chief Executive Officer
National Association of Charter School Authorizers
105 W. Adams Street, Suite 3500
Chicago, IL 60603-6253

Dear Mr. Richmond:

I am writing to express Tugboat Education Services' support for and commitment to the national activities grant application that the National Association of Charter School Authorizers (NACSA) is submitting to the United States Department of Education later this month.

Tugboat is devoted to the work of assisting education organizations successfully navigate the regulatory and practical challenges that can impede their success. If NACSA's grant application is approved and funded, Tugboat is committed to participating in this initiative to improve the quality of charter school authorizing. Tugboat will provide legal, regulatory and compliance expertise to the initiative and will abide by the various assurances and commitments made by NACSA in this application for federal funds.

Please feel free to contact me with any questions or concerns.

Sincerely,

Paul T. O'Neill

Paul T. O'Neill
President

Budget Narrative

Budget Narrative

Attachment 1:
Title: **NACSA Budget Narrative** Pages: **12** Uploaded File: **NACSA BUDGET NARRATIVE FINAL.pdf**

PMRC PROJECT

BUDGET NARRATIVE

Upon receipt of the grant, NACSA will hire a Project Director at a salary of $75,000 per year. That salary will increase by 2% in each subsequent grant year. Indirect costs have been calculated at 12% of the total grant budget.

YEAR 1

PERSONNEL AND FRINGE BENEFITS - $175,021

In addition to the project manager, NACSA will draw on the experience of other members of its staff in support of the project objectives. In the first year, the organization's Vice President of Authorizer Development will commit 1(b)(of his time to project activities with a particular focus on the selection of model sites, the development of model resources and the implementation of the authorizer evaluation. The President and Chief of Staff will each devote (b) of their time to overall grant management and support with $8000 set aside for administrative support (15% of an FTE). Personnel costs will total $141,146 in Year 1 with fringe benefits (calculated at 24%) adding another $33,875.

TRAVEL - $69,700

Staff and Consultant travel in order to conduct the authorizer evaluations at both the model and demonstration sites will total $38,000 for a total of 60 travel days (2 evaluators x 3 days x 10 sites). This amount includes air fare, lodging and the GAO-established per diem for meals and incidentals.

During the first year of the project, Bellwether Education will travel to each of the model sites during the course of their research on model practices. The first year's travel for

Bellwether's research is budgeted for $3500. The first year's travel for Tugboat as they research authorizing policies will total $1500. In addition, the project will cover the travel expenses of the National Advisory Panel as they convene during the first year of the project to review the recommended model policies and practices. This amount is expected to total $16,000. Project Implementation Consultants will incur travel costs totaling $8000 related to their attendance at a three-day training session on the project models. Finally, travel expenses totaling $1500 have been budgeted for the Project Director to attend Department of Education grantee meetings.

Bellwether will also incur travel expenses of $1200 related to their ongoing documentation of the project and their attendance at the First Year Study Panel.

SUPPLIES - $1,770

The supplies required to complete the evaluation will total $407. An additional $999 will be required by the staff and consultants to finalize the development of the models. The supplies required to prepare the models for implementation will total $364.

CONTRACTUAL - $375,000

NACSA's Evaluation of Authorizer practices requires the engagement of expert consultants to conduct the evaluations in teams of two. While consultant expenses for evaluators will total almost $200,000 for the model and demonstration sites, only $80,000 of this cost will be charged to the project. The balance of the cost will be covered by NACSA using other grant funds.

A consultant with expertise in the analysis of student achievement data will be engaged following each evaluation (for both model and demonstration sites) to complete an analysis of the performance of the authorizer's portfolio of schools. These analyses average $7500 per site

totaling $75,000. These costs may ultimately vary somewhat based on the size of the portfolio and the complexity of the student data available.

The project will also provide each model site a $10,000 grant to cover their staff expenses related to their participation in the development of model policies and practices. These grants will total $60,000.

Bellwether Education will receive a sub-grant totaling $50,000 to complete their research into model authorizer practices and the development of recommended models. Tugboat Education will receive a contract totaling $25,000 to complete research into model authorizer policies. NACSA will engage other content experts as needed for a cost not to exceed $20,000 for the completion of these models.

Aspen Institute will receive $25,000 to cover their staff costs related to the convening of, and reporting on, the first year meeting of the National Advisory Panel.

The project will identify and train four consultants to assist in the implementation phase. Each consultant will be paid a total of $3750 to participate in the training on the project models and subsequent pre-implementation meetings. This amount will total $15,000 in the project's first year.

Bellwether Education will also receive $5000 in consulting fees to conduct an ongoing documentation of the project's first year.

The University of Colorado Denver will receive $20,000 for initial project evaluation activities in the first year.

OTHER - $44,528

Other expenses related to the completion of the evaluations and the presentation of the evaluation reports including printing, postage, and meeting expenses will total $8844 in the first year.

Printing and the meeting expenses for the meeting of the National Advisory Panel will total $29,104 in the first year.

Other expenses related to the preparation of the models for implementation including printing, postage, and meeting expenses will total $6580 in the first year.

YEAR 2

PERSONNEL AND FRINGE BENEFITS - $176,037

In addition to the project manager, NACSA will draw on the experience of other members of its staff in support of the project objectives. In the second year, the organization's Vice President of Authorizer Development will commit (b)(of his time to project activities with a particular focus on support to demonstration sites on the implementation of the authorizer model practices. The President and Chief of Staff will continue to each devote 1(b)(of their time to overall grant management and support with $5500 set aside for administrative support (10% of an FTE). Personnel costs will total $141,965 in Year 2 with fringe benefits (calculated at 24%) adding another $34,072.

TRAVEL - $32,000

Travel expenses totaling $1500 have been budgeted for the Project Director to attend Department of Education grantee meetings.

The project will cover the travel expenses of the National Advisory Panel as they convene during the second year of the project to review the recommended model policies and practices. This amount is expected to total $16,000.

Bellwether will also incur travel expenses of $2500 related to their ongoing documentation of the project's implementation and their attendance at the Second Year National Advisory Panel.

Bellwether and Tugboat will each incur $2000 in travel expenses related to their work to refine and finalize the project models.

The core team of consultants will incur a total of $8000 in travel as they convene as a group at intervals during the project's second year to debrief the project director and project partners on implementation progress.

SUPPLIES - $2,278

The supplies required for implementation, project documentation and the refinement of the models will total $1905. The supplies required to prepare for the initiation of dissemination will total $373.

CONTRACTUAL - $419,000

NACSA will award implementation sub-grants averaging $120,000 to each of the four project demonstration sites to begin utilization of the policy and practice models. While these grants will total $480,000, only $320,000 or 2/3 of the money will be awarded in Year 2.

Bellwether Education will receive a sub-grant totaling $10,000 to complete the refinement of the authorizer practice models beginning at the end of the project's second year. Tugboat Education will receive a contract totaling $10,000 to complete refinement of model

authorizer policies. Aspen Institute will receive $25,000 to cover their staff costs related to the convening of, and reporting on, the second year meeting of the National Advisory Panel.

NACSA will pay the core of consultants a total of $4000 to cover their time participating in implementation debriefings.

Bellwether Education will also receive $10,000 in consulting fees to conduct an ongoing documentation of the project's second year.

NACSA will contract with the University of Colorado Denver to complete a third party evaluation of the project. They will receive $40,000 for their evaluation activities in Year 2.

OTHER - $36,957

Other expenses related to the completion of the evaluations and the presentation of the evaluation reports including printing, postage, and meeting expenses will total $4148 in the second year. Printing and the meeting expenses for the meeting of the National Advisory Panel will total $23,117 in the second year.

Other expenses related to the documentation of the project including printing and postage will total $2947 in the second year, while those related to the preparation for dissemination activities will total $6745.

YEAR 3

PERSONNEL AND FRINGE BENEFITS - $158,963

In addition to the project manager, NACSA will draw on a range of staff experience to support the dissemination and evaluation activities. In the third year, the organization's Vice President of Authorizer Development will commit 5% of his time to project activities with a particular focus on the refinement of the model resources. The Vice President of External

Affairs will devote 10% of his time to support the dissemination work. The Vice President of Policy and Research will devote 5% of his time to support the project evaluation. Any additional time required will be covered by other grant sources. The President and Chief of Staff will each devote 5% of their time to overall grant management and support with $5500 set aside for administrative support (10% of an FTE). Personnel costs will total $128,196 in Year 3 with fringe benefits (calculated at 24%) adding another $30,767.

TRAVEL - $21,000

Bellwether will also incur travel expenses of $1500 related to their ongoing documentation of the project's implementation.

Aspen Institute will underwrite the travel of representatives of the model and demonstration sites to attend two forums featuring the model policies and practices for expenses totaling $10,000. NACSA will incur $8000 in travel expenses related to its own dissemination. Travel expenses totaling $1500 have been budgeted for the Project Director to attend Department of Education grantee meetings.

SUPPLIES - $3154

The supplies required by the staff and consultants to refine the models, complete the project documentation, dissemination of results and facilitation of the project evaluation will total $3094.

CONTRACTUAL - $431,500

Bellwether Education will receive a sub-grant totaling $10,000 to finalize the authorizer practice models at the start of the project's second year. Tugboat Education will receive a contract totaling $10,000 to finalize the model authorizer policies.

The Demonstration Sites will receive the final third of their funds to implement the project models. This amount will total $160,000 in Year 3.

Bellwether Education will receive an additional $5,000 in consulting fees to conduct an ongoing documentation of the project's second year.

The Aspen Institute will receive a sub-grant totaling $90,000 for the convening of two forums to introduce the project's models and increase their exposure to education stakeholders and policy makers. The Council of Chief State School Officers will receive $45,000 to incorporate the project's models and key results into their existing communication vehicles including standing committees, conferences, publications and web resources. Bellwether Education will receive $16,500 for the publication of their learning from the project documentation and as well as additional white papers/monographs on key project issues. NACSA will utilize writing and design consultants in the development of their own dissemination vehicles for costs totaling $5000.

Finally, University of Denver will complete its project evaluation for a cost of $90,000 in Year 3.

OTHER - $54,930

These other expenses including printing for the refinement of the models and the project documentation will total $1595 in the third year. Other expenses related to documentation, dissemination activities including printing, postage and meeting expenses will total $50,753 in the third year. Those activities related to the facilitation of the project evaluation will total $2582.

NACSA - CSP Grant Proposal

Project Activity Budget - Grand Totals

Budget Categories	Project Activities							
	Evaluations	Dvlpt of Models	Implementation	Rfmnt of Models	Ongoing Doctn	Dissemination	Evaluation	Totals
1. Personnel	45,267	55,439	71,189	55,800	25,785	140,538	17,288	411,307
2. Fringe Benefits	10,864	13,305	17,085	13,392	6,188	33,729	4,149	98,714
3. Travel	38,000	30,500	1,500	28,000	5,200	19,500	-	122,700
4. Equipment	-	-	-	-	-	-	-	-
5. Supplies	407	999	641	1,502	232	3,265	156	7,202
6. Contractual	215,000	155,000	480,000	49,000	20,000	156,500	150,000	1,225,500
7. Construction	-	-	-	-	-	-	-	-
8. Other	8,844	29,104	10,728	24,180	3,478	57,498	2,582	136,415
9. Total Direct Costs (lines 1-8)	318,383	284,347	581,144	171,874	60,884	411,030	174,175	2,001,837
10. Indirect Costs*	38,206	34,122	69,737	20,625	7,306	49,324	20,901	240,220
11. Training Stipends	-	-	-	-	-	-	-	-
12. Total Costs (lines 9-11)	356,589	318,469	650,881	192,499	68,190	460,354	195,076	2,242,057

PR/Award # U282N100020

NACSA - CSP Grant Proposal

Project Activity Budget - Year One

Budget Categories	Project Activities							
	Evaluations	Dvlpt of Models	Implementation	Rfmnt of Models	Ongoing Doctn	Dissemination	Evaluation	Totals
1. Personnel	45,267	55,439	40,439	-	-	-	-	141,146
2. Fringe Benefits	10,864	13,305	9,705	-	-	-	-	33,875
3. Travel	38,000	30,500	-	-	1,200	-	-	69,700
4. Equipment	-	-	-	-	-	-	-	-
5. Supplies	407	999	364	-	-	-	-	1,770
6. Contractual	215,000	155,000	-	-	5,000	-	-	375,000
7. Construction	-	-	-	-	-	-	-	-
8. Other	8,844	29,104	6,580	-	-	-	-	44,528
9. Total Direct Costs (lines 1-8)	318,383	284,347	57,089	-	6,200	-	-	666,019
10. Indirect Costs*	38,206	34,122	6,851	-	744	-	-	79,922
11. Training Stipends								-
12. Total Costs (lines 9-11)	356,589	318,469	63,939	-	6,944	-	-	745,941

NACSA - CSP Grant Proposal

Project Activity Budget - Year Two

Budget Categories	Project Activities							
	Evaluations	Dvlpt of Models	Implementation	Rfmnt of Models	Ongoing Doctn	Dissemination	Evaluation	Totals
1. Personnel	-	-	30,750	47,920	21,845	41,450	-	141,965
2. Fringe Benefits	-	-	7,380	11,501	5,243	9,948	-	34,072
3. Travel	-	-	1,500	28,000	2,500	-	-	32,000
4. Equipment	-	-	-	-	-	-	-	-
5. Supplies	-	-	277	1,431	197	373	-	2,278
6. Contractual	-	-	320,000	29,000	10,000	-	60,000	419,000
7. Construction	-	-	-	-	-	-	-	-
8. Other	-	-	4,148	23,117	2,947	6,745	-	36,957
9. Total Direct Costs (lines 1-8)	-	-	364,055	140,970	42,731	58,516	60,000	666,272
10. Indirect Costs*	-	-	43,687	16,916	5,128	7,022	7,200	79,953
11. Training Stipends								-
12. Total Costs (lines 9-11)	-	-	407,742	157,886	47,859	65,538	67,200	746,224

NACSA - CSP Grant Proposal

Project Activity Budget - Year Three

Budget Categories	Project Activities							
	Evaluations	Dvlpt of Models	Implementation	Rfmnt of Models	Ongoing Doctn	Dissemination	Evaluation	Totals
1. Personnel	-	-	-	7,880	3,940	99,088	17,288	128,196
2. Fringe Benefits	-	-	-	1,891	946	23,781	4,149	30,767
3. Travel	-	-	-	-	1,500	19,500	-	21,000
4. Equipment	-	-	-	-	-	-	-	-
5. Supplies	-	-	-	71	35	2,892	156	3,154
6. Contractual	-	-	160,000	20,000	5,000	156,500	90,000	431,500
7. Construction	-	-	-	-	-	-	-	-
8. Other	-	-	-	1,063	531	50,753	2,582	54,930
9. Total Direct Costs (lines 1-8)	-	-	160,000	30,905	11,952	352,514	114,175	669,546
10. Indirect Costs*	-	-	19,200	3,709	1,434	42,302	13,701	80,346
11. Training Stipends								-
12. Total Costs (lines 9-11)	-	-	179,200	34,613	13,387	394,816	127,876	749,892