



2018 SUNY

Request for Proposals

To Establish New Charter School Education Corporations to Operate Charter Schools in New York State; and,

For Existing SUNY Authorized Charter School Education Corporations to Operate Additional Schools

For Submission to the State University of New York Board of Trustees

Pursuant to New York Education Law §§ 2852(9-a) and 2853(1)(b-1)

Release Date: January 2, 2018

SUNY Charter Schools Institute

SUNY Plaza, 353 Broadway

Albany, New York 12246

(518) 445-4250

www.newyorkcharters.org



2018 REQUEST FOR PROPOSALS TIMELINE

At the time of the release of the 2018 Request for Proposals (“RFP”), the SUNY Charter Schools Institute (the "Institute") intends to hold two review cycles to consider proposals to open new charter schools inside and outside of New York City. SUNY, in its sole discretion, reserves the right to modify the 2018 RFP schedule and to hold additional round(s) later in the year.

ACTION	DATE
Draft RFP Public Comment Period	November 10 – December 11, 2017
Release of 2018 Request for Proposals	January 2, 2018

ACTION	FIRST ROUND	SECOND ROUND
<p>Letter of Intent Due</p> <p>The Institute will invite applicants whose Letter of Intent meets the requirements described in this RFP to submit a full proposal. The Institute aims to provide a Letter of Intent determination within ten business days of submission.</p>	Noon, February 2, 2018	Noon, May 31, 2018
Final Proposals and Business Plans (if applicable) Due	Noon, March 6, 2018	Noon, June 25, 2018
Proposal Review	March-April 2018	July-August 2018
Applicant Notification	April 2018	August 2018
Anticipated Charter Schools Committee Meeting	May 2018	September 2018
Charter Transmittal Preparation	May-June 2018	September-October 2018
Proposed Charter Transmittal to New York State Board of Regents	June-July 2018	October-November 2018
Board of Regents' Action on Charters Approved by SUNY Trustees	Up to 90 days after transmittal to Board of Regents	Up to 90 days after transmittal to Board of Regents
Earliest Possible School Opening	Fall 2019	Fall 2019

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DEFINITION OF TERMS

Charter Management Organization (“CMO”): “CMO” describes any not-for-profit charter management organization, educational service provider, or partner organization providing a majority of the educational management services at a charter school.

SUNY Charter Schools Committee (the “Committee”): The SUNY Charter Schools Committee is a committee of the State University of New York Board of Trustees (the “SUNY Trustees”) that has been delegated the authority to act on behalf of the full SUNY Board of Trustees regarding SUNY authorized charter schools.

Charter School Education Corporation: A New York not-for-profit charter school education corporation that comes into existence through the issuance of a charter and the subsequent formation of a corporation by the New York State Board of Regents (the “Board of Regents”). Each charter entitles an education corporation to operate one school in one or more sites. Once a charter school education corporation has been formed, there is no need to form another education corporation in order to operate additional schools.

Partner Organization: A partner organization is non-profit entity such as a community based organization, college, university, museum, educational institution, or other organization authorized to do business in New York that would provide space or support to the proposed school or be responsible for managing and/or providing services to the proposed school whether or not such goods, services, facilities, etc. would be provided free of charge or pursuant to a contract or shared service agreement with the education corporation.

School: A school is a vehicle for the delivery of a complete educational program to students that has independent leadership, dedicated staff, defined facilities, and encompasses all of the approved grades for a given charter. An education corporation may have the authority to operate more than one school so long as a charter has been issued for each such school. Note that a school may be housed in more than one site.

Site: A site is one of a number of facility locations for a single charter school. Sites are typically grouped by grade range, for example, a school may have a K-4 site, 5-8 site, or a 9-12 site. Without additional authority, an education corporation may not educate students of the same grade level in more than one site.

SUNY AS A CHARTER AUTHORIZER

The New York Charter Schools Act of 1998 (as amended, the “Act”) designates the SUNY Trustees as one of two state-wide chartering entities, or “authorizers,” along with the Board of Regents. Each authorizer has the authority to grant charters for the purpose of organizing charter school education corporations to operate one or more independent and autonomous public charter schools. SUNY is the largest charter school authorizer in New York State and the largest university-based authorizer in the country.

The Institute’s work in this regard is designed to support the SUNY Trustees’ commitment to the guiding principles of the Act: to establish schools that operate in an academically, fiscally, and legally sound manner and provide outstanding educational opportunities for all students, especially those at risk of academic failure; and, to oversee approved schools in a manner that respects their independence and autonomy while holding them accountable for student achievement results—including a commitment to close schools that have failed to live up to their promises.

Since its inception, the Institute has been recognized on numerous occasions for the quality of its authorizing practices. The CfBT Education Trust and the World Bank featured SUNY’s authorizing practices in an online toolkit promoting public and private partnerships to support quality education. The toolkit included a case study detailing SUNY’s school approval process, strategies for oversight, and criteria for schools to earn charter renewal. The National Association of Charter School Authorizers (“NACSA”) awarded SUNY planning and implementation grants to support its work relating to the replication of high quality charter schools. NACSA also awarded SUNY the Award for Excellence in Improving Authorizer Practice, recognizing SUNY for having the “best application process” for creating new charter schools.

Positive results in the classroom affirm recognition of SUNY’s authorizing work. On the New York State 2015-16 exams 88% of SUNY authorized charter schools outperformed their district school peers in mathematics and 83% outperformed their district school peers in English language Arts (“ELA”). According to a review of the data from a January 2010 CREDO study, SUNY authorized charter schools yield greater gains in student achievement than their public school peers in New York City charter and non-charter schools. Further, SUNY authorized schools consistently outperform similarly situated schools in both ELA and mathematics.¹

SUNY currently authorizes 185 charter schools across New York State for approximately 85,700 students:

¹ School performance is based on the Institute’s regression analysis of each charter school compared to schools statewide with similar percentages of economically disadvantaged students. SUNY authorized schools consistently perform in the better than expected category in ELA and mathematics.

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- 162 in and around New York City - Manhattan (31); Brooklyn (71); Bronx (43); Queens (14); Staten Island (1); Roosevelt (1); and Hempstead (1);
- 6 in the Capital District - Albany (5); Troy (1); and,
- 17 in Western/Central New York – Elmira (1); Ithaca (1); Rochester (6); Buffalo (9).

The SUNY Trustees support diversity and innovative program design in the charter schools they authorize. The SUNY Trustees set a high bar of expectations for student achievement, particularly for students most at risk of academic failure, but realize there is more than one way to meet that bar.

Among the portfolio of SUNY authorized charter schools are: schools with a particular focus on English language learners (“ELLs”); multiple schools using the Core Knowledge curriculum; a school implementing the Middle Years and Diploma Programmes of the International Baccalaureate Programme; single gender schools; several schools that offer intensive foreign language instruction; a school devoted to an inclusionary model of instruction where more than 50% of the student body has a wide variety of special education needs; a school devoted to students who are or have been enrolled in the child welfare system, are homeless, or who have graduated from a failing middle school; a school infusing the principles of sustainability throughout the curriculum; a school designed specifically to serve the needs of students with autism; and, many more.

The SUNY Trustees and the Institute recognize the significant time and effort required to develop a quality proposal. Institute staff members look forward to working with each applicant group throughout the process.

CRITICAL INFORMATION FOR ALL APPLICANTS

The Institute is pleased to present the 2018 RFP. SUNY is proud of its national reputation as a high quality authorizer, with a rigorous and comprehensive approach to reviewing and recommending proposals for approval. All applicants should carefully read each of the sections below for critical information regarding the 2018 RFP and are strongly encouraged to contact the Institute with any questions or concerns about this information prior to completing a proposal.

LEGISLATIVE REQUIREMENTS AND NUMBER OF AVAILABLE CHARTERS

- Education Law § 2852(9-a) requires authorizers to use a RFP process to award charters to new applicant groups wishing to establish an education corporation to operate one or more new charter schools. Education Law § 2853(1)(b-1) allows existing education corporations to seek authority to operate one or more additional charter schools. The Act requires review of proposals to prioritize specific criteria—from community outreach and targeted enrollment demographics to cooperation with local school districts.
- The Act requires that authorizers make a draft of the RFP available for public review and comment and take the provided feedback into consideration, before issuing the final RFP.
- The Act prohibits RFP applicants from contracting with a for-profit entity to operate a charter school.
- At the time this document was published, the SUNY Trustees and the Board of Regents may together award a maximum of 125 charters statewide including a remaining 21 charters to New York City applicants.

NOT-FOR-PROFIT CHARTER SCHOOL EDUCATION CORPORATIONS

The Act permits a charter school education corporation to have more than one charter issued to it, thus allowing it to operate more than one charter school or the same grade at more than one site. It also allows multiple education corporations to merge into one education corporation with the authority to operate all of the schools under one authorizer.

SUNY's 2018 RFP accommodates both the creation of new charter school education corporations with the authority to operate one or more new schools, and existing education corporations seeking to add additional schools.

Note that existing SUNY approved charter school education corporations authorized after August 2010 may seek to add additional new schools using the Replication RFP Requests. All other applicants must use the Standard RFP Requests in order to provide updated materials. See the Application Requirements Section for further information.

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We strongly encourage applicants to consult with the Institute when identifying which application materials to submit.

PUBLIC DISCLOSURE

SUNY takes its statutory responsibilities to disclose information about new proposals very seriously.

- The Institute, shortly after receipt of a proposal, will release to the public via its website a “Public List,” containing the name of the proposed charter school education corporation, name of the proposed charter school, name of the applicant and public contact information, proposed enrollment and grades served, charter management organization (if any), and the school district or community school district(s) (“CSD(s)”) in which the charter school proposes to locate.
- The Institute will post copies of the complete proposals, redacted of all personal privacy information, within several weeks of receipt. The Institute may post the Transmittal and Summary Form online as an interim step between when the Public List is released and when proposals are posted. Please note that the Institute will not accept any requests to redact part(s) of an application for any information not related to personal privacy or statutory exemptions.
- As required by the Act, SUNY will, within 30 days of receipt of a proposal, officially notice the district in which the proposed school would be located. As mandated, the Institute will also provide notice to all public and non-public schools in the surrounding geographic area.
- The district must hold a public hearing to solicit public comments on the proposal within 30 days of receipt of notice of a proposal from the Institute.
- SUNY carefully considers all comments about the application as part of the proposal review process. The Institute presents school district comments and a written summary of public comments to the SUNY Trustees when recommending proposals. The Institute is committed to capturing community feedback and strongly requests all stakeholders submit their comments two weeks prior to the Charter Schools Committee meeting (dates and materials to be posted at: www.suny.edu/about/leadership/board-of-trustees/meetings/meetingNotices.cfm) in order for them to be included in the summary of public comments.

SUNY'S REVIEW PROCESS

LETTER OF INTENT AND INITIAL EVIDENCE OF COMMUNITY OUTREACH REVIEW

Institute staff will review letters of intent and community outreach documentation to determine if submissions meet the requirements specified in the Letter of Intent Requirements section. The Institute will invite applicants whose letters meet the Letter of Intent requirements to submit full proposal(s). The Institute will inform applicants whose letters do not meet the requirements that they may not submit a proposal for review during the current cycle. The determination of the adequacy of the Letter of Intent is at the sole discretion of the Institute. There is no appeal of a negative determination. Nothing shall prohibit applicants who submit an unsuccessful Letter of Intent from submitting a new one in response to any future review rounds.

PROPOSAL REVIEW

SUNY's review of submitted proposals is a progressive, multi-step process broadly recognized as setting a high bar for approval. The SUNY Trustees have charged the Institute with recommending for their consideration only those proposals deemed to have the highest likelihood of success. SUNY has revised and enhanced its new school review process over time to reflect lessons learned.

Notably, SUNY authorized schools indicate the process adds value to the proposed program. Applicants emerge from the SUNY review process with a stronger blueprint from which to build their schools. The hard work up front translates into greater autonomy for schools once chartered and, most importantly, has resulted in the highest performing portfolio of charter schools in New York.

The Institute's review process includes the following:

1. Intake of each proposal to ensure each component is materially and substantively complete and thereby merits a full review.
2. Review of the proposal by Institute staff from academic, operational, legal, and fiscal perspectives.
3. When applicable, in-depth analysis of student performance data from the applicant's existing schools to identify areas and trends of strength and deficiency to gauge the proposed program's likelihood of producing exemplary academic outcomes including, but not limited to:
 - Review of past three years of student performance data on state assessments, with an emphasis on growth percentile scores;
 - Student attrition rates from year to year;
 - Graduation rates; and,
 - Authorizer evaluation, renewal, and regulatory compliance reports.

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4. At the Institute’s discretion, an external panel of education experts may review proposals and, where applicable, accompanying Business Plans.
5. For proposals deemed strong enough to move on in the review process, an interview by Institute staff (and possibly member(s) of an external review panel) of members of the proposed school’s founding group, which should include the applicant(s), proposed education corporation trustees, and representatives of any proposed CMO and/or other partner organizations.
6. Proposals of sufficient strength may undergo a Request for Amendments (“RFA”) process to resolve Institute concerns and assure compliance with the Act and all applicable laws and regulations.
7. If the Request for Amendment (“RFA”) process yields an application that the Institute identifies as strong enough to move on in the process, a representative of the Charter Schools Committee will interview the applicant(s) and proposed education corporation trustees. (Note: the Institute understands that additional trustees may be added to the education corporation's board in the future, but expects enough members to be identified and present at this interview to constitute a functioning board if the charter is approved).

After completing the review process, the Institute makes any positive recommendations to the Charter Schools Committee, which renders the final determination. There is no appeal of a negative determination at any stage of the process.

Criteria for Recommending Proposals for Approval

When the Institute receives a proposal, it first determines whether applicants met all expectations, as solely determined by the Institute, for example:

- Proposals must be sufficiently complete, i.e., include a Transmittal and Summary Form and responses to all applicable RFP requests; and,
- Proposals must be accompanied by complete Business Plans where required.

The Institute then determines whether a proposal meets minimum statutory requirements, for example:

- The proposal includes a viable plan to meet the enrollment and retention targets established by the SUNY Trustees for students with disabilities, ELLs, and students who are eligible to participate in the federal free and reduced-price lunch (“FRPL”) program.
- The proposal provides evidence of public outreach that conforms to the Act and the process prescribed by the SUNY Trustees for the purpose of soliciting and incorporating community input regarding the proposed charter school and its academic program.
- The applicant demonstrates the ability to operate the school in an educationally and fiscally sound manner.

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- Approving the proposal is likely to materially further the purposes of the Act, which are to:
 - Improve student learning and achievement;
 - Increase learning opportunities for all students, with special emphasis on expanded learning experiences for students who are at risk of academic failure;
 - Encourage the use of different and innovative teaching methods;
 - Create new professional opportunities for teachers, school administrators and other school personnel;
 - Provide parents and students with expanded choices in the types of educational opportunities that are available within the public school system; and,
 - Provide schools with a method to change from rule-based to performance-based accountability systems by holding charter schools accountable for meeting measurable student achievement results.
- The proposal meets all of the requirements set out in the Act and all other applicable laws, rules, and regulations as well as meets any additional requirements established by the SUNY Trustees as part of their commitment to student achievement.

The Institute reserves the right, in its sole discretion, to discontinue its review if a proposal does not meet these minimum statutory requirements.

For proposed schools intending to locate in a school district where more than five percent of the students residing in the district attend charter schools (these districts are listed in the *Guidance Handbook* under Request No. 2), the Institute will evaluate whether approving the proposal would have a significant educational benefit to the students likely to attend the proposed charter school or whether the school district of location consents to the proposal.

The Institute is interested not only in the potential of proposed schools to navigate the challenges of start-up successfully, but also in whether the school is likely to earn renewal at the end of its initial term of authority to operate. Under the Act, the Institute can only recommend to the SUNY Trustees as a qualified application a proposal it determines rigorously demonstrates the above criteria. If there are more proposals that meet these criteria than available charters, the Institute will use preference scoring to determine which proposals to recommend.

Business Plan Review

Institute staff and, at the Institute's discretion, external experts review applicant groups' business plans in tandem with their proposals to gauge CMO, partner organizations', and education corporations' organizational and fiscal capacity to fulfill their obligations to the proposed school(s) effectively.

PREFERENCE SCORING

Consistent with the Act (Education Law § 2852(9-a)(c)), SUNY's 2018 RFP includes preference criteria to prioritize proposals that the Institute intends to recommend to the SUNY Trustees at the conclusion of the review process.

Preference scoring does not occur until the conclusion of a review process and applies to only the proposals that the Institute determines could result in academically, fiscally, and legally sound charter schools.

The Institute bases preference scoring on 10 criteria for which the proposal can earn credit. In accordance with the Act, SUNY will use the criteria to grant priority to proposals in the event that the number of proposals meeting the SUNY Trustees' requirements exceeds the maximum number of charters available. The 10 preference criteria relate to whether a proposed school is likely to:

1. Increase student achievement and decrease achievement gaps in ELA and mathematics;
2. Increase high school graduation rates for students particularly at risk of not graduating and/or focus on middle school students' academic achievement;
3. Increase the acquisition, adoption, and use of local instructional improvement systems that provide teachers and school leaders with the information and resources they need to inform and improve instructional practices, decision-making, and overall effectiveness;
4. Use high quality assessments designed to measure the learning of critical concepts;
5. Meet the statutory enrollment and retention targets for students with disabilities, students who are ELLs, and students who are eligible to participate in the FRPL program;
6. Conform to the public review process prescribed by the SUNY Trustees for the purpose of soliciting community input regarding the proposed charter school and its educational program;
7. Have the management and leadership capability to overcome start-up problems and establish a fiscally viable school;
8. Partner with low-performing district and charter schools to share best practices and innovations;
9. Gain support from the school district in which the school would locate, and demonstrate intent to establish an ongoing relationship with the school district; and,
10. Locate in a region of the state with limited educational alternatives.

The Institute will rate each criterion on a scale of 0 to 3 degrees of preference. The Institute defines degrees of preference as follows: "0" degrees of preference for a criterion that does not apply to a proposed school; "1" degree of preference if a proposal meets statutory and/or basic Institute expectations for a criterion; "2" degrees of preference if a proposal exceeds basic

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expectations for a criterion; and, “3” degrees of preference if a proposal is exemplary/outstanding for a criterion. The Institute gives the most weight (3x) to the first preference criterion, “Student Achievement,” as this is the primary goal of strong schools. The Institute also confers additional weight (2x) to other academic criteria, as they are indicative of the development of a strong educational program. Non-academic criteria do not receive additional weighting.

Should the Institute be in the position to recommend more proposals than available charters, the Institute will recommend the SUNY Trustees provide the remaining charters in an order to be determined by each application’s preference score.

SUNY PREFERENCE SCORING GUIDANCE

PREFERENCE CRITERIA (0-3 POINTS EACH)	PRIMARY INDICATORS	RELEVANT RESPONSE(S)	WEIGHT
<p>1. Student Achievement: The proposed school has the ability to increase student achievement and decrease achievement gaps in ELA and mathematics.</p> <p>For replicators, student outcomes in ELA and mathematics at existing, related schools will determine the score in this category.</p>	The proposed school has a strong academic program with the potential to raise the achievement of the intended student population.	2, 5	3
	The proposed school has a pedagogical approach that is likely to raise student achievement with the target population.	5	
	The proposed school’s program has the potential to accelerate the achievement of at-risk students.	7	
	The proposed school’s academic program includes a specific focus on STEM or STEAM instruction.	2, 5	
<p>2. High School Success and Middle School Achievement: The proposed school has the ability to increase high school graduation rates for students particularly at risk of not graduating and/or increase middle school</p>	The proposed school will serve high school and/or middle school students at risk of not graduating.	1	2
	The proposed school has been specifically designed to meet the needs of high school students at risk of not graduating and/or has explicit programs and strategies for	2, 15	

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PREFERENCE CRITERIA (0-3 POINTS EACH)	PRIMARY INDICATORS	RELEVANT RESPONSE(S)	WEIGHT
<p>achievement.</p> <p>For replicators, student academic outcomes and graduation rates (if applicable) will determine the score in this category.</p>	<p>increasing the achievement of young adolescents and preparing them for rigorous high schools.</p>	7	2
<p>3. Data-Driven Systems: The proposed school will adopt and use systems that provide teachers and school leaders with the information and resources they need to inform and improve instructional practices, decision-making and overall effectiveness.</p> <p>For replicators, SUNY evaluation visit findings will inform the score for this criterion.</p>	<p>The proposed school has a process for reviewing and revising curriculum.</p>	5	2
	<p>The proposed school has a well-developed assessment system and explicit plans for using results to improve student achievement.</p>	5	2
	<p>The proposed school has clear procedures and resources for identifying and serving at-risk students and evaluating the efficacy of its programs.</p>	7	2
	<p>The proposed school has a process for monitoring the effectiveness of the academic program.</p>	5	2
	<p>The proposed school has a coherent professional development program with explicit plans to evaluate its efficacy.</p>	8	2
	<p>The proposed school has an explicit process for monitoring progress towards achievement of its Accountability Plan goals.</p>	5, 13	2

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PREFERENCE CRITERIA (0-3 POINTS EACH)	PRIMARY INDICATORS	RELEVANT RESPONSE(S)	WEIGHT
	The proposed school has an explicit process for monitoring progress towards achievement of its mission.	5, 13	
	The proposed education corporation's board has a clearly defined process for monitoring, and holding school leaders accountable for, school performance.	5, 13	
<p>4. High Quality Assessments: The proposed school will implement high quality assessments that measure knowledge and application of concepts through the use of a variety of item types and formats.</p> <p>For replicators, SUNY evaluation visit findings will inform the score for this criterion.</p>	The proposal includes a plan for administering valid and reliable diagnostic, formative, and summative assessments.	5	2
	The proposed school's assessment system includes a variety of item types and formats.	5	
	The proposal explains how teachers and instructional leaders will use assessment results to improve instruction and raise student achievement.	5	
	The proposal includes a coherent plan to implement a co-curricular program (i.e., social-emotional learning, mentoring, service learning) and clearly explains how the school intends to assess its effectiveness.	5	
<p>5. Enrollment Targets: The proposal includes a viable plan to meet enrollment and retention targets for</p>	The proposal includes strategies for recruitment and enrollment that will likely achieve statutory targets.	15	1

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PREFERENCE CRITERIA (0-3 POINTS EACH)	PRIMARY INDICATORS	RELEVANT RESPONSE(S)	WEIGHT
specific sub-populations: students with disabilities, ELLs, and FRPL students.	The proposal includes strategies for student retention that will likely achieve statutory targets.	15	
6. Public Outreach: The applicant has conducted public outreach to solicit community input and addressed comments from the community concerning the educational and programmatic needs of students.	The proposal provides evidence of effective efforts to inform the intended community about the proposed charter school.	3	1
	The proposal describes explicit efforts to solicit community input regarding the educational and programmatic needs of students.	3	
	The proposal provides concrete evidence of feedback received from community stakeholders regarding the proposed school and its program.	3	
	The proposal explains how the applicant incorporated that feedback into the proposal.	3	
7. Management and Leadership: The proposal demonstrates the management and leadership techniques necessary to overcome initial start-up problems and establish a thriving, financially viable charter school. For replicators, SUNY evaluation visit findings will inform the score for this criterion.	The proposed education corporation board has the skill sets, structures, and procedures to provide rigorous oversight and support for a start-up organization or additional school(s).	3	1
	The proposed education corporation / school has an adequate management structure to support startup and growth.	10, 11	
	Qualifications sought in the proposed school leader explicitly address the needs of a start-up organization.	11	

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PREFERENCE CRITERIA (0-3 POINTS EACH)	PRIMARY INDICATORS	RELEVANT RESPONSE(S)	WEIGHT
	The proposed education corporation / school has strategies for recruiting and retaining the number of students necessary for financial viability.	15	
	The proposed education corporation has a budget planning process to maintain a financially viable school.	22	
8. School Partnerships: The proposal has viable plans for partnering with low-performing schools and/or SUNY campuses to share best practices and innovations.	The proposal has identified specific low-performing schools.	1, 14	1
	The proposal includes a clear plan for partnering with said schools.	14	

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PREFERENCE CRITERIA (0-3 POINTS EACH)	PRIMARY INDICATORS	RELEVANT RESPONSE(S)	WEIGHT
<p>9. District Relationship: The proposed school demonstrates the support of the district in which it will be located and/or the intent to establish an ongoing relationship with the district.</p> <p>For replicators, evidence of the replicating education corporation’s, school’s or network’s collaboration and/or sharing with the district during the last three years will influence the score in this category.</p>	<p>The proposal includes explicit evidence of support from the local district.</p>	14	1
	<p>The proposal includes a clear plan with reasonable strategies for establishing an ongoing relationship with the district.</p>	14	
<p>10. Location: The school would be located in a region with limited choice of high performing public schools.</p>	<p>The proposed school would be located in a community with limited choice of high performing public schools.</p>	1	1
	<p>The proposal presents a compelling need for the school.</p>	1	

APPLICATION REQUIREMENTS

Applicants submit up to three sets of materials in response to the SUNY Request for Proposals. Information about each required component is included in this section.

- **Letter of Intent:** All applicants must submit a Letter of Intent. Requirements are described in the “Letter of Intent” section of this publication.
- **Proposal:** All applicants must submit a proposal. There are two types of proposals: Standard and Replication. Please refer to the proposal information that follows to determine which type of proposal to complete. All proposals must include a Transmittal and Summary Form.
- **Business Plan:** Not all applicants complete a business plan, and some applicants may have to fill out more than one business plan. The information that follows identifies who must submit a business plan.

Resources

The Institute’s “Creation Resources” webpage includes links to multiple documents to provide guidance to applicants (<http://www.newyorkcharters.org/category/creation-resources/>). The Institute will periodically update this site with additional, sometimes critical, guidance. Applicants should check the Creation Resources website regularly.

LETTER OF INTENT

All applicants wishing to submit a proposal to the Institute must submit a Letter of Intent with evidence that applicants have planned and initiated a public outreach process in the community that the proposed school would impact.

An applicant seeking to establish more than one charter school and/or who identifies more than one potential geographic location (e.g., school district or CSD) for the proposed charter school(s) must provide evidence demonstrating the public review process has begun in each location.

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STANDARD VS. REPLICATION PROPOSAL

To accommodate different types of applicants, the 2018 RFP includes two sets of requests: Standard Requests and Replication Requests. Applicants should review the following list of questions to determine which type of proposal they should submit.

Any applicant answering “No” to any one of these questions must submit a Standard Proposal.

Any applicant answering “Yes” to all three of these questions may submit a Replication proposal.

1. Is a SUNY approved charter school education corporation submitting a proposal to replicate a SUNY approved school that the education corporation already operates? If yes:
2. Did the SUNY Trustees approve the initial application for the replicating school after August 2010? If yes:
3. Would the proposed school replicate all or a vast majority of the academic program components in use at the existing school?

STANDARD REQUESTS

The Standard Proposal Requests address all statutorily required elements of a new school proposal and collect information about the proposed academic program and organizational structure. The information provided becomes part of the approved charter and sets the conditions under which an education corporation may operate a school. Submission of the Standard Proposal assumes that either there is not yet a SUNY approved charter to replicate, or the conditions have changed significantly enough since the Institute reviewed an education corporation’s charter that there are likely to be material changes to the charter.

REPLICATION REQUESTS

The Replication Requests address all statutorily required elements of a new school proposal, but acknowledge the following replication specific issues:

- Replicating SUNY approved education corporations already have one or more charters approved by the SUNY Trustees containing exhibits that describe the replicating school’s academic program and organizational structure. If there are no material changes to the exhibits, there is no need for applicants to resubmit them. Instead, applicants may respond to some Requests by incorporating by reference the applicable documents on file at the Institute.
- Institute evaluators can rely on qualitative data about the strength of the existing schools collected through the Institute’s school evaluation process, and quantitative data collected through the analysis of the replicating school’s academic outcomes instead of detailed plans submitted as part of a proposal. Note that this assumes that the proposed school model is not materially different from the model used in one or more schools with authority to operate under an existing education corporation.

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- By making the replication option available, SUNY in no way suggests that applicants attempt to take on more schools than they have the capacity to manage. In fact, SUNY's due diligence regarding fiscal and human capital capacity becomes more rigorous when considering the award of multiple charters to one education corporation.

BUSINESS PLAN REQUIREMENT

Applicants who meet any of the following criteria must submit a business plan with their proposal (available at www.newyorkcharters.org/category/creation-resources/):

- Applicants submitting a proposal in conjunction with an organization that would be responsible for managing and/or providing significant portions of the school's academic program; in this case the CMO or partner organization must complete a business plan to be submitted with the proposal.
- Existing SUNY approved education corporations seeking to add one or more new charter schools to the education corporation; in this case, the education corporation must complete and submit a business plan in conjunction with the proposal.

NOTE: SUNY approved education corporations seeking to add one or more new charter schools to an existing education corporation that will contract with a CMO to manage the proposed school(s) must submit two business plans in conjunction with the proposal: one completed by the CMO; and, one completed by the education corporation. If the education corporation's business plan would not differ from the CMO's business plan in any way, the education corporation may not have to submit a business plan. Any applicant who believes this applies to a replication proposal should contact the Institute for guidance.

The Institute reserves the right to request a business plan from any organization that would play a substantial role in the management or operation of the proposed school(s).

FORMATTING PROPOSALS AND BUSINESS PLANS

HOW TO ADDRESS REQUESTS THAT DO NOT REQUIRE A DIRECT RESPONSE

NOTE: Applicants must provide a response to every request, even if no information is required.

Examples of how to respond to these requests include:

- Applicants should respond to requests that do not apply with “Request is not applicable.”
- For replicators, if a response incorporates other materials by reference, then applicants should respond with “This response is incorporated by reference,” and reference the source materials.

DOCUMENT FORMATTING

- Applicants must use the electronic file conventions included in both the RFP and the Business Plan Requirements for response and attachment file names and file types.
- Request headings and numbering must be used.
- Responses should include page numbers at the bottom of the page. The notation should be the response number followed by the page number for that response. For example, the 4th page of the 11th RFP request would be numbered “Response 11-4.”
- The Institute does not have specific text formatting requirements. In general, an 11 or 12 point sans-serif font (e.g., Calibri, Arial, etc.) is recommended but not required.

FILE STRUCTURE

- Each electronic copy of the proposal shall consist of files containing individual responses saved as described in the Proposal Electronic File Conventions table.
- Files must be organized as follows:
 - The top level folder should be titled [School Name] [Date (mm_yy)] Charter Proposal. All proposal files should be in this folder.
 - **Do not use any subfolders.** If it is necessary to use more than one file to address a Request, save the files using the following format: R-23b-**01** – Supplemental Docs, R-23b-**02** – Supplemental Docs, etc.
 - Within the top level folder, save all Responses titled and formatted as described in the Proposal Electronic File Conventions table.
 - For each response, use the file name and file type indicated in the Proposal Electronic File Conventions table. Acceptable electronic formats for the files are MS Word®, MS Excel®, or Adobe Acrobat®.

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- MS Word® files should contain no tracked changes and the track changes setting should be turned off prior to submission.
- Excel print settings must be set to enable printing to letter-sized paper.
- Scanned Adobe PDF files should be Optimized to minimize the file size.

SUBMITTING MATERIALS TO THE INSTITUTE

Applicants must submit all materials as digital files to the Institute by the deadlines noted in the RFP Timeline (see pages i-ii). It is not necessary to submit a paper copy of the full application. The Institute must receive Transmittal and Summary Forms (available on the Institute website) with either a digital signature or a hard copy of the form with an original applicant signature, postmarked by the proposal deadline. Applicants must upload digital files to a Dropbox folder that the Institute will set up for this purpose. Note that this is the only folder that may be used to submit proposals. Once all of the files are uploaded, please send an email to charters@suny.edu to inform the Institute that the proposal submission is complete.

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PROPOSAL ELECTRONIC FILE CONVENTIONS

REQUEST	REQUIRED FILE NAME	FILE TYPE
Transmittal and Summary	R-00a - Transmittal and Summary Form	MS Word®
Replication Checklist (if applicable)	R-00b - Replication Checklist	MS Excel®
Request 1	R-01ac - Community Need and Proposed School Impact	MS Word®
Request 2	R-02ab - Addressing Need	MS Word®
	R-02c - Accountability Plan	MS Word®
Request 3	R-03af - Proposal History	MS Word®
	R-03g - Letters of Justification	MS Word® or Adobe Acrobat®
	R-03h - Founding Team Resumes	MS Word® or Adobe Acrobat®
	R-03i - Board Member Credentials	MS Word® or Adobe Acrobat®
	R-03j - Outreach Evidence	MS Word® or Adobe Acrobat®
Request 4	R-04ab - Enrollment	MS Word®
	R-04c - Statistical Overview	MS Excel®
Request 5	R-05ae - Curriculum and Instruction	MS Word®
	R-05f - Programmatic Audit	MS Word®
Request 6	R-06ac - Calendar and Schedules	MS Word® or MS Excel®
Request 7	R-07ad - Specific Populations	MS Word®

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REQUEST	REQUIRED FILE NAME	FILE TYPE
Request 8	R-08ad - Instructional Leadership	MS Word®
Request 9	R-09a - Culture and Discipline	MS Word®
	R-09b - Discipline Policy	MS Word®
	R-09c - Special Education Policy	MS Word®
	R-09d - Dress Code	MS Word®
Request 10	R-10ab - School Management and Leadership	MS Word®
Request 11	R-11ac - Personnel	MS Word®
	R-11d - Personnel Policies	MS Word®
Request 12	R-12a - Partner Organizations	MS Word®
	R-12b - Partner Commitment	MS Word® or Adobe Acrobat®
Request 13	R-13ac - Governance	MS Word®
	R-13d - By-Laws	MS Word®
	R-13e - Code of Ethics	MS Word®
	R-13f - Complaint Policy	MS Word®
Request 14	R-14 - District Relations	MS Word®
Request 15	R-15abd - Student Demand	MS Word®
	R-15c - Evidence of Demand	MS Word® or Adobe Acrobat®
	R-15e - Evidence of Support	MS Word® or Adobe Acrobat®
	R-15f - Admissions Policy	MS Word®

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REQUEST	REQUIRED FILE NAME	FILE TYPE
Request 16	R-16ac - Facilities	MS Word®
	R-16d - Facilities Documents	MS Word® or Adobe Acrobat®
Request 17	R-17 - Food Services	MS Word®
Request 18	R-18 - Health Services	MS Word®
Request 19	R-19 - Transportation	MS Word®
Request 20	R-20 - Insurance	MS Word®
Request 21	R-21ad - Fiscal Soundness	MS Word®
	R-21e - Budget Template	MS Excel®
	R-21f - Letters of Commitment	MS Word® or Adobe Acrobat®
	R-21g - Non-SUNY Financials	MS Word® or Adobe Acrobat®
Request 22	R-22 - Action Plan	MS Excel®
Request 23	R-23a - Supplemental Narrative	MS Word®
	R-23b - Supplemental Attachments	MS Word® or Adobe Acrobat®
Business Plan (If Applicable)	Refer to the Business Plan Requirements for file naming conventions for business plan attachments.	

LETTER OF INTENT REQUIREMENTS

ALL applicants must submit a Letter of Intent containing the information described below by the deadline noted in the RFP Timeline (see pages i-ii). It is not necessary to submit a Transmittal and Summary Form with the Letter of Intent.

Applicant Information:

- Name.
- Contact information.
- Information demonstrating the applicant is a parent, teacher, school administrator, or resident of the community where the charter school is proposed to be located. This information may be listed in the resume or separately. For replication requests, the current board chair may be listed as the applicant.
- Current resume and biographical statement.
- Existing education corporations need only provide:
 - Name of the board chair; and,
 - Contact information for the board chair.

Founder Information:

- Provide a list of a minimum of five proposed board members with a current resume and brief biographical statement for each.
- Existing education corporations need only provide the names and contact information for the existing trustees of the education corporation.
- Provide a list of the remaining founding team members – e.g., excluding those listed as applicants and board members – and provide a current resume and brief biographical statement for each.

CMO / Partner Information:

- Name and address of proposed CMO and/or partner organization(s), if applicable.

School Information:

- Proposed school name (which must, according to the Act, contain the words “Charter” and “School”);
- Proposed or current education corporation name (must contain “Charter” and “School,” and may be the same as the school name);
- Proposed school location (district or New York City CSD(s));

LETTER OF INTENT

- Approximate date that the school would start instruction (i.e., August, 2018);
- Planned grades and enrollment in the 1st year of operation;
- Planned grades and enrollment in the 5th year of operation; and,
- School description: A brief description of the school model, especially any unique design elements that might require specific expertise in the review process.

Initial Facility Plans:

- A brief description of space the applicant has considered; and,
- Indication of intent to seek public facility space. If the applicant intends to seek public facility space in New York City, the applicant should provide a contingency plan in the event that public space is unavailable. Applicants seeking to co-locate in New York City Department of Education (“NYCDOE”) facilities should contact the NYCDOE with questions and may wish to review the information posted here: schools.nyc.gov/community/charters/contacts/charterresources.htm.

Description of Academic Performance

Applicants associated with established schools must provide an analysis of how the school(s) being replicated provides a high quality academic program to students, especially through the lens of SUNY’s accountability metrics. Please see the [accountability resources](#) for information about SUNY’s Accountability Plan and the [renewal resources](#) for information about SUNY’s charter renewal benchmarks (also available at: www.newyorkcharters.org/category/operational-resources).

Analysis of Community Outreach

Per Education Law § 2852(9-a)(b)(ii), the SUNY Trustees may not consider any proposal that does not reflect a meaningful public review process designed “to solicit community input regarding the proposed charter school and to address comments received from the impacted community concerning the educational and programmatic needs of students.” Provide a summary and analysis of community outreach conducted to date as well as plans for further outreach in the future, but before the submission of the proposal.

Minimum Community Outreach Requirements

Successful proposals must provide evidence of the following three criteria:

1. The community, which is not limited to a school district or CSD in New York City (it may be much broader), was informed of the proposed school in a timely fashion.

To meet this criterion, the applicant at minimum must make the public aware of the following:

- An application will be submitted to the SUNY Trustees to open a new charter school;
 - The approximate date that the school would commence instruction (e.g., August, 2018);
 - Intended location;
 - Target population;
 - Proposed grades and enrollment;
 - Mission;
 - Description of academic program;
 - That the applicant group is actively soliciting comments on the charter proposal, its educational program, and student programmatic needs; and,
 - The manner in which members of the public can submit comments (e.g., at a meeting, by email, in writing, etc.).
2. The community had meaningful opportunities for input.
 3. There was a thoughtful process for considering community feedback and incorporating it into the final proposal.

Evidence of Community Outreach and Input

Letters of Intent must include concrete evidence that potential applicants have made progress toward the above three criteria. While community outreach may not be complete by the Letter of Intent deadline, the Institute will determine which groups to invite to submit a full proposal based on the evidence and strength of progress toward each of the criteria.

NOTE: The Institute must reject a Letter of Intent for lack of evidence that the applicants have commenced the community outreach process.

Evidence of Outreach and Community Input

The Institute does not dictate the methods applicants must use to inform the community. Activities might include, for instance, discussions with community

LETTER OF INTENT

stakeholders (e.g., local superintendents or other district staff, school boards, politicians, community leaders, Community Education Councils and Community Boards in New York City, media figures and editorial boards, parents, parent organizations, etc.), public awareness campaigns, mail or email campaigns, or coverage in local media. Evidence of outreach could include:

- Dated correspondence with community stakeholders that clearly includes a request for comments and provides directions for submitting them. Note: if community outreach includes a form letter, submit a single copy of the form letter, a list of the parties that received the letter, and samples of evidence that the letters were actually received (for example email receipts or replies to the letters);
- Invitations or documentation of room reservations for events or meetings with stakeholders, sign-up sheets, etc. (invitations should include directions to submit comments for those who cannot attend);
- Marketing materials with information about how to provide feedback;
- Copies of media coverage, e.g., articles, blog posts, television spots — again all material should solicit comments; and,
- Proposal information posted on a website inviting feedback, and documentation of the feedback.

LETTERS OF INTENT SUBMISSION:

Applicants must upload Letter of Intent digital files to a Dropbox folder that the Institute will set up for this purpose. Note that this is the only folder that may be used to submit Letters. Once all of the files are uploaded, please send an email to charters@suny.edu to inform the Institute that the Letter of Intent submission is complete. Please contact the Institute to request a Dropbox folder at least one week prior to the Letter of Intent deadline.

PROPOSAL TRANSMITTAL AND SUMMARY FORM

PROPOSAL TRANSMITTAL AND SUMMARY FORM

ALL applicants must submit a signed Transmittal and Summary Form with their proposal.

The Institute accepts digital and handwritten signatures. If a handwritten signature is used, applicants should include a scanned copy of the signed form with their proposal, and ensure the Institute receives the paper copy of the transmittal form, bearing the original signature, postmarked by the proposal submission deadline. The Transmittal and Summary Form is available on the Institute's website at: www.newyorkcharters.org/category/creation-resources/.

NOTE: Please ensure the enrollment provided on the Transmittal and Summary Form matches the enrollment provided in Response 4.

What to Submit:

Submit the completed electronic copy of the Proposal Transmittal and Summary Form as a Microsoft Word[®] file named: **R-00a - Transmittal and Summary Form**

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Established SUNY authorized education corporations incorporated after August 2010 may use the Replication Requests. All other applicants must complete these Standard Requests.

NOTE: Some applicants must also complete one or more business plans. Refer to the Business Plan Requirement section of the Introduction for more information.

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SCHOOL ESTABLISHMENT

1. Community Need and Proposed School Impact

(a) Community Description and Need

Provide an analysis of the community and target population for the school including:

- A description of the community from which the proposed school intends to draw students;
- Community demographics;
- A description of the specific population of students the proposed school intends to serve;
- The applicant's rationale for selecting the community;
- Performance of local schools in meeting the community's need; and,
- How the proposed school would provide a needed alternative for the community.

(b) Programmatic Impact

Describe the programmatic impact the proposed charter school would have on existing public and nonpublic schools in the same geographic area as the proposed school location. Responses should include:

- A table listing the existing educational options and grades served available to the target population including all district, charter, and private schools in the geographic area;
- Information demonstrating a thorough analysis of existing educational options for the community and target population;
- Analysis of how the proposed school's enrollment plan would impact the enrollment and programmatic viability of the public and non-public schools; and,
- Analysis of the provision of novel or different programs or instructional approaches compared to those currently in place in the targeted community.

(c) Fiscal Impact

Complete the fiscal impact table in the budget template and include a copy of it with this response. Discuss the fiscal impact of the school on other public and non-public schools in the area including:

- Enrollment expectations;

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- Per Pupil Allocation assumptions;
- Dollar amount the proposed charter school anticipates receiving from each district in per pupil funding;
- Other projected revenue the proposed charter school anticipates receiving from the district (special education, grant, etc.);
- Projected budget for the school district of location (please note the source and year for this figure); and,
- Yearly projected impact as a percentage of each sending district's budget (for districts projected to send at least 10 students).

What to Submit:

Submit the narrative response to Request 1 as a Microsoft Word[®] file named:
R-01ac - Community Need and Proposed School Impact

2. Addressing the Need

(a) Mission

Provide the mission statement for the proposed charter school.

(b) Key Design Elements

Provide a clear and concise overview of the proposed charter school's key design elements, i.e., those aspects of the school critical to its success. Provide an analysis of any research, evidence of effectiveness, or examples of existing programs, which support the selection of these elements. The response should include a brief discussion of how the school will determine if it is effectively executing its key design elements in a way that is aligned with its mission. This should not exceed five pages in length.

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(c) Draft Accountability Plan

Complete the Accountability Plan template available on the Institute’s website at: <http://www.newyorkcharters.org/reporting-requirements/accountability-plan-draft/>. The web page includes additional detail to assist the applicant in drafting the required SUNY academic Accountability Plan. This Response should serve as a **draft** based on the applicant’s understanding of the Institute’s accountability requirements and align with the proposed school model. Institute staff will work with successful applicants in the school’s first year of operation to finalize the plan.

What to Submit:

- Submit the narrative response to Request 2(a-c) as a Microsoft Word® file named:
R-02ab - Addressing Need
- Attach a draft accountability plan as a Microsoft Word® file named:
R-02c - Accountability Plan

3. Proposal History Including Community Outreach

(a) Applicant Information

Indicate whether each applicant is a parent, teacher, administrator, and/or community resident as required by the Act. Provide a brief biographical description for the applicant(s) including relevant background and experience. Include applicant resume(s) as Response 3(h) - Founding Team Resumes.

(b) Proposal History

Describe how the applicant team formed and the relationship of its members to each other. Clearly describe the process that the founding group used to develop the proposal. Discuss any assistance the founding group received from outside advisors, for example, support organizations, or consultants (even if these outside advisors are not active members of the founding group).

(c) List of Founding Team Members

Provide a brief biography for any founding team member added since the Letter of Intent submission and use the Founding Team Members table to list the active members of the founding group, including the applicant(s), who developed this

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proposal and/or will be involved in the proposed school, if approved. Do not include proposed board members on this list.

Attach the founding team members' resumes as Response 3(h)-Founding Team Resumes.

FOUNDING TEAM MEMBERS (OTHER THAN BOARD MEMBERS)

NAME	RELEVANT EXPERIENCE/SKILLS AND ROLE IN FOUNDING GROUP	PROPOSED ROLE(S) IN SCHOOL (IF ANY)
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		

(d) Board Members

- Provide a brief narrative describing the methods used to recruit and select board members.
- Attach resumes for any board member added since the Letter of Intent Submission with Response 3(i) - Board Member Credentials.
- Use the Proposed Board Members table to identify a minimum of five proposed board members. In circumstances where one or two persons affiliated with a CMO will serve on the education corporation board, a total of at least six or seven trustees must be identified when the proposal is submitted. Refer to the Guidance Handbook for more details. **Proposed board members should intend to serve the school through its first charter term, if approved.**
- Under the heading "Position on the Board," please note any leadership and/or affiliations that proposed board members would hold. For example: "Board Chair," "Board Member – CMO Representative," etc.

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- Under the heading “Committee Affiliations (if any),” please note any committees on which a proposed trustee would serve.
- Include any currently vacant seats that the board would fill at a later date, and specify the date. For example, if the board intends to add the head of the school’s Parent Teacher Organization as an *ex-officio* member after PTO elections in December of the 1st year, that member should appear in the table below as: Name - TBD; Position on the Board – PTO Representative; Committee Affiliations – TBD; and Area of Expertise and/or Additional Role at School – Parent; and, indicate whether role would be “Voting,” or non-voting and/or “*Ex-Officio*.”
- **NOTE:** Paid employees of the school including administrators and teachers generally may not serve as voting members of the board, except perhaps in limited circumstances. Please see the Guidance Handbook for further information.

PROPOSED BOARD MEMBERS

TRUSTEE NAME	POSITION ON THE BOARD (OFFICER OR CONSTITUENT REPRESENTATIVE)	COMMITTEE AFFILIATIONS (IF ANY)	EXPERTISE AND/OR ROLE AT SCHOOL (PARENT, STAFF, ETC.)	VOTING	EX-OFFICIO
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					

(e) Description of Community Outreach Efforts

NOTE: Community outreach is a minimum statutory requirement. For further information about this requirement, refer to the Guidance Handbook and to the Letter of Intent section of the RFP.

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Explain:

- The methods used to inform stakeholders in the intended community about the proposed charter school;
- The strategies used to solicit community input regarding the educational and programmatic needs of students and the plan to meet those needs;
- The form and nature of feedback received from community stakeholders and the process for incorporating that feedback into the submitted proposal; and,
- The extent to which, if at all, the proposal incorporates community input regarding the educational and programmatic needs of students.

(f) Withdrawn, Rejected, and Concurrent Proposals (SUNY and/or Other Authorizers)

- Indicate whether this proposal was previously withdrawn from or rejected by the SUNY Trustees. If yes, provide:
 - The name of the proposed charter school(s) when previously submitted;
 - The date(s) of the previous submission(s); and,
 - A summary of what has changed in the proposal since its previous submission(s) and the reasons therefore.
- Indicate whether the applicant and/or founding team has previously applied for a charter from a charter entity other than the SUNY Trustees, e.g., the Board of Regents. If yes, provide:
 - The name of the charter entity;
 - The name(s) of the proposed school(s) and the date(s) when the application(s) were submitted;
 - The status of the application(s);
 - If any members of the founding group withdrew an application for a substantially similar school from consideration by a charter entity or if such an entity ever denied such an application, provide the reasons for the withdrawal or denial. If the charter entity provided any formal written documentation to explain or justify the decision to not move the application forward (resulting in an applicant withdrawal or denial of the application), attach the document as part of this Response. If the application was granted, but the charter school is no longer in existence, please provide an explanation; and,

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- Describe any changes made to the application following the withdrawal or denial of the application evident in this proposal.

(g) Letters of Justification for Previously Denied Applications

If a charter entity has provided any formal documentation to explain a decision to not move an application for a substantially similar school forward (resulting in an applicant withdrawal or denial of the application), attach the document(s) as part of this Response.

(h) Founding Team Resumes

Submit a resume for each founding team member added after the Letter of Intent submission.

(i) Board Member Credentials

- Submit a resume for each board member added after the Letter of Intent submission.
- Board Members Request for Information Forms: Each proposed board trustee must complete, sign, and attach the “Request for Information from Prospective Charter School Trustees” (“RFI”) form available on the Institute’s website at: <http://www.newyorkcharters.org/reporting-requirements/board-members-new/>.

(j) Outreach Evidence

This response should include ample and concrete evidence that the applicants conducted the described community outreach.

NOTE: Community outreach is a minimum statutory requirement. For further information about this requirement, refer to the Guidance Handbook.

What to Submit:

- Submit the narrative response to Request 3(a-f) as a Microsoft Word® file named: **R-03af - Proposal History**
- Attach any letters of justification as Microsoft Word® or Adobe® Acrobat files named: **R-03g - Letters of Justification**
- Attach founding team resumes as Microsoft Word® or Adobe® Acrobat files named: **R-03h - Founding Team Resumes**
- Attach board member resumes and RFI Forms as Microsoft Word® or Adobe® Acrobat files named: **R-03i - Board Member Credentials**

STANDARD REQUESTS

- Attach any evidence of community outreach as Microsoft Word® or Adobe® Acrobat files named: **R-03j - Outreach Evidence**
-

4. School Enrollment

- (a) In a narrative response, describe the following aspects of the school's enrollment plan including:
- The extent to which the proposed charter school's grade configuration aligns with the school district of location and how any misalignment may impact the school;
 - Any differences in eligible or minimum age in the same grades between the proposed charter school and district schools;
 - The pattern of growth over the charter term including anticipated student attrition, the rationale for the attrition rate, and plans to replace or limit the intake of students;
 - A statement about any growth that the applicants may seek in a future charter period if the school is renewed; and
 - A statement regarding whether the school might seek to apply for a full-day universal pre-K program. (Note, pre-K applications are handled by the school district of location or NYSED and cannot be submitted until the charter is approved.)
- (b) Complete the student enrollment table provided in the budget template and include a copy of it here.
- (c) Applicants associated with one or more currently operating public or private school(s) should complete the Statistical Overview – Existing Schools chart available at: www.newyorkcharters.org/category/creation-resources/.
-

What to Submit:

- Submit the response to Request 4(a-b) as a Microsoft Word® file named: **R-04ab - Enrollment**
 - If applicable, submit the Statistical Overview – Existing Schools chart as a Microsoft Excel® file named: **R-04c - Statistical Overview**
-

ACADEMIC SUCCESS

5. Curriculum and Instructional Design

(a) Curriculum Selection and Processes

Summarize the school's curriculum, by subject, and the rationale for all curriculum decisions including:

- Research-based evidence of effectiveness, particularly in meeting the needs of the school's target population, including proper citations;
- Discussion of how the school's curriculum is aligned to New York State standards;
- An explanation of how the curriculum aligns with the school's educational philosophy and furthers its specific mission and unique themes, if applicable;
- How teachers will know what to teach and when to teach it including the curriculum resources that will support instructional planning (e.g., curriculum maps, scope and sequences, pacing guides, etc.) and who will be responsible for creating or selecting these resources; and,
- The processes and procedures the school will use to review, evaluate, and revise the curriculum to ensure its effectiveness for all students, alignment to state standards, and alignment from grade to grade including who will be responsible for these processes and how teachers will be involved.

(b) Assessment System

Describe the diagnostic, formative, and summative assessments the school will use to evaluate student knowledge and skills. This response should:

- Describe each assessment's purpose, design, format, and rationale for its selection;
- Describe key considerations in the selection or creation of any assessments not yet identified;
- Describe how the school will collect and analyze assessment results;
- Explain how the school will ensure assessment results are valid and reliable;
- Describe who will be responsible for administering assessments and collecting and analyzing the results; and,
- Explain how school leaders and teachers will ensure student work products resulting from instruction indicate student preparation for success on state assessments;

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- Explain how the following stakeholders will have access to and be able to use assessment results:
 - Teachers;
 - School leaders;
 - The education corporation’s board of trustees; and,
 - Students and parents; and,
- Describe how the school will inform parents and students about academic achievement and progress including the timing, frequency, and nature of the feedback.

(c) Instructional Methods

Describe the pedagogical approach the school will use to implement its curriculum including:

- The instructional methods or techniques to be employed in the school including any specific requirements for implementing this pedagogical approach, e.g., co-teaching or aides, technology, physical space, approaches to classroom management, approach to checks for understanding, etc.;
- Research or existing models that support the use of these instructional methods, especially considering the school’s target population and curricular choices outlined in Response 5(a); and,
- How these instructional methods will achieve the school’s mission and support implementation of any unique elements of the school’s design.

(d) Course or Subject Overview

Provide course descriptions by subject for each grade level the school will serve within the initial five years of operation, accounting for both core and non-core subject areas. This should include, at minimum:

- A general description of the content and skills that would be addressed in the course; if known;
- The curricular programs (e.g., Singapore Math, FOSS, etc.) that would be used in each course;
- Essential course specific assessments (e.g., the state’s 3-8 assessments/Regents exams, end of course portfolios or performances, etc.); and,

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- If serving students in 12th grade, provide an outline of course sequences leading to graduation.

(e) Promotion and Graduation Policy

Explain the school's policies for promoting students from one grade to the next including any early promotion. Include any provisions related to retention of students for a specified number of absences including any equating of tardies to absences. Address when and how the school will inform students and parents about promotion and graduation policies and decisions.

If the school will offer high school grades within the proposed charter term:

- Describe the types of diplomas the school will offer along with the credit and other requirements for each;
- Explain how students will meet the requirements set forth by New York State for the granting of each relevant type of diploma; and,
- Include any additional specific graduation requirements and the rationale for their selection.

(f) Programmatic Audits

Describe a plan of annual programmatic audits of the implementation and effectiveness of the school's education program. Programmatic audits should include an evaluation of the effectiveness of the school's academic program, governance, and operations. Note that the programmatic audit is not simply a cost/benefit audit as conducted by some school districts. The plan should include, but is not limited to, the:

- Purpose and objectives;
- Areas to be audited;
- Schedule of events;
- Responsible persons, which may include outside consultants;
- Description of written end product;
- How and to whom such written end product will be disseminated; and,
- Any plans to hire outside consultants to perform such audits.

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What to Submit:

- Submit the response to Request 5(a-e) as a Microsoft Word® file named:
R-05ae - Curriculum and Instruction
 - Submit the response to Request 5(f) as a Microsoft Word® file named:
R-05f - Programmatic Audit
-

6. Calendar and Schedules

(a) School Calendar

- Provide a copy of the school's proposed calendar for its first year of operation that clearly articulates:
 - Total number of days of instruction for the school year including whole and half days;
 - Total number of hours of instruction for the school year including and not including additional instructional time such as tutoring;
 - First and last day of classes;
 - Organization of the school year (i.e., semesters, trimesters, quarters, etc.);
 - All planned holidays and other days off, as well as planned half days; and,
 - Dates for summer school, orientation, and other activities outside of the core academic calendar, if planned.
- Provide a narrative to explain any aspects of the calendar that are not evident on the 1st year calendar or where further explanation is necessary.

(b) Sample Student Schedule

For each division of the school (e.g., lower elementary, upper elementary, middle, and high), provide the following for a typical week of instruction:

- A narrative describing the typical school day (including the approximate start and dismissal times and any regular variations; for example, one day a week early dismissal for teacher professional development), components of the school day devoted to core academics; components of the school day devoted to before or

STANDARD REQUESTS

after school electives; and, remediation or other non-core academic components of the proposed school design;

- A table that outlines the minimum number of weekly minutes the school will devote to core academic subjects in each grade, i.e., ELA, mathematics, science, and social studies, and the total number of all instructional minutes the school would offer per week (exclusive of lunch, recess, study hall, etc.); and,
- A sample student schedule for a typical week.

(c) Sample Teacher Schedule

For each division of the school provide a sample teacher schedule for a typical week of instruction including:

- Length of teachers' work day;
- Time devoted to core teaching assignments, planning, and other activities; and,
- A brief scenario describing a typical teacher day and week.

What to Submit:

Submit the response to Request 6 as a Microsoft Word® file named:

R-06ac - Calendar and Schedules

7. Specific Populations

(a) Struggling Students

Discuss the school's methods and strategies for identifying and serving students who are struggling academically and at risk of academic failure including:

- How the school will determine and identify which students are struggling including within the context of a Response to Intervention ("RTI") program. The applicant should clearly define the term "struggling student" as it would be applied in the school;
- The strategies, programs, and resources (including personnel) the school will devote to assisting struggling students both within general education classrooms and in other settings, e.g., planning time, small group instruction, tutoring, targeted assistance, technology, staff and consultants, etc.;

STANDARD REQUESTS

- Any research or evidence that supports the appropriateness of the proposed approach; and,
- The process that the school will use to evaluate the efficacy of the program and ensure that the school is meeting the needs of these students.

(b) Students with Disabilities

Discuss the school's methods and strategies for identifying and serving students with disabilities in compliance with all federal laws and regulations. Please refer to Appendix B – Assurances Regarding the Provision of Special Education Services when creating this response as, if approved, the final charter will incorporate the assurances found in this document. Include:

- A statement agreeing to abide by all of the assurances found in Appendix B of this RFP – Special Education Assurances.
- The process for identifying students with disabilities (child find), especially within the context of the school's RTI process;
- The resources, personnel (including administrative responsibilities), direct and related services the school is likely to provide both within general education classrooms and in other settings (e.g., collaborative team teaching ("CTT"), Special Education Teacher Support Services ("SETSS"), speech therapy, physical therapy, occupational therapy, counseling, planning time, instructional materials, technology, professional development, staff and consultants, etc.);
- The services or settings that will be provided by the school district of the student's residency or through a third party contract (pursuant to the Act);
- Any research or evidence that supports the appropriateness of the school's approach to serving students with disabilities;
- The process for coordination between general education teachers and special education teachers or service providers;
- The process that will be used to monitor the achievement and progress of students with disabilities;
- The process that will be used to evaluate the efficacy of the program and ensure that the needs of these students are being met; and,
- Specific professional development for identifying, supporting, and evaluating the progress of special education students including the implementation of RTI and behavioral intervention plans ("BIPs") in the classroom.

STANDARD REQUESTS

(c) English Language Learners

Discuss the school's methods and strategies for identifying and serving ELLs in compliance with all federal laws and regulations including:

- The process for identifying students whose first language is not English and the methods for determining the scope of assistance that these students may need including how the school will ensure that they are not inappropriately identified as students with special education needs;
- The approach, resources, and personnel (including qualifications and reflecting associated administrative responsibilities) the school will use to meet the needs of ELLs (both within general education classrooms and in other settings);
- The research and evidence that supports the appropriateness of this approach;
- The process for coordination between general education teachers and staff serving ELLs and professional development for general education teachers serving ELLs;
- The process that will be used to monitor the achievement and progress of ELLs including exit criteria;
- The process that will be used to evaluate the efficacy of the program, instructors, and ensure that the needs of ELL students are being met;
- How the school will make all necessary materials available to parents of ELLs in a language that they can understand; and,
- How the school will make after school and other extra-curricular programming accessible to ELLs.

(d) Gifted and Advanced Students

Discuss the school's methods and strategies for identifying and serving students who are academically advanced and/or gifted and at risk of not being adequately served including:

- How the school will identify advanced and/or gifted and talented students; and,
- Strategies and programs the school will use within general education classrooms and in other settings to accelerate learning for advanced and gifted and/or talented students.

What to Submit:

Submit the response to Request 7(a-d) as a Microsoft Word® file named:
R-07ad - Specific Populations

8. Instructional Leadership

(a) Instructional Leadership Roles

Describe instructional leadership in the school over the first five years of operation including:

- Specific roles and responsibilities of the personnel who would provide instructional leadership in the proposed school;
- The process and criteria for identifying and selecting instructional leaders, including how such criteria aligns with the school's educational philosophy and mission; and,
- How instructional leaders will monitor the effectiveness of the academic program and at-risk students' academic performance.

(b) Teacher Support and Supervision

Describe the school's approach to on-going individual teacher supervision and support including, but not limited to: coaching and feedback systems and supports to ensure high quality instructional planning and implementation.

(c) Professional Development

Describe how the school's professional development program will assist teachers in meeting students' academic needs and school goals including:

- An overview of the frequency and format of professional development;
- Who will be responsible for leading and providing professional development;
- How the school will identify professional development topics;
- How the school's professional development plans support the school's mission, key design elements, and the target and special populations' needs;
- How the professional development program will meet the needs of all teachers, including novice teachers, teachers new to the school, highly effective teachers, and teachers of all subjects; and,

STANDARD REQUESTS

- The process for evaluating the efficacy of the professional development program.

(d) Teacher Evaluation and Accountability

Describe how the school will evaluate teachers and hold them accountable for student achievement, including:

- An explanation of how expectations for teacher performance and student achievement will be established, communicated to, and instilled in, staff; and,
- A description of the school's process and criteria for evaluating teacher performance and holding teachers and leaders accountable for student achievement.

What to Submit:

Submit the response to Request 8(a-d) as a Microsoft Word® file named:
R-08ad - Instructional Leadership

9. School Culture and Discipline

(a) Explain how the school will establish and maintain a culture that supports learning and achievement including:

- The school's general approach to school culture and rationale for this approach;
- How the school will maintain a safe and orderly environment; and,
- If the charter school would implement a dress code policy, describe the policy and the rationale for its selection. Include a description of how the cost of any uniform would be subsidized for parents unable to afford it.

(b) Discipline Policy (for general education students);

(c) Special Education Discipline Policy (in conformity with the federal Individuals with Disabilities Education Act ("IDEA") and regulations; and,

(d) Dress Code Policy.

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What to Submit:

- Submit the response to Request 9(a) as Microsoft Word® file named:
R-09a - Culture and Discipline
 - Attach the school's Discipline Policies for general education students as a Microsoft Word® file named: **R-09b - Discipline Policy**
 - Attach the school's Discipline Policies for special education students as a Microsoft Word® file named: **R-09c - Special Education Policy**
 - Attach the school's Dress Code as a Microsoft Word® file named: **R-09d - Dress Code**
-

ORGANIZATIONAL VIABILITY

10. School Management and Leadership

(a) Organizational Chart

Provide organizational charts for the 1st and 5th years of operation clearly showing reporting structures between the school leader(s), the board of trustees, and staff. If the charter school intends to contract or partner with an entity for management or educational services, the organizational charts should also reflect that relationship.

(b) School Leadership and Management Structure

Include a narrative explaining the lines of reporting and accountability, the rationale for choosing this structure, and the roles of any management or partner organizations. The narrative should:

- Describe the management practices and procedures, i.e., how the school will set priorities and make key organizational decisions;
- Outline the evaluation procedures for staff in management positions; and,
- Describe recruitment plans for the school leader including:
 - The process and criteria the school will use to select the school leader;
 - Who has been, or will be involved in the selection process; and,
 - The role of any CMO or partner organization (if any) in the selection process.

What to Submit:

Submit the response to Request 10 as a Microsoft Word® or Adobe Acrobat® file named:

R-10ab - School Management and Leadership

11. Personnel

(a) Staffing Chart and Rationale

Complete the table provided in the budget template to list all instructional and non-instructional staff positions during the first five years of operation and include a copy of

STANDARD REQUESTS

the table in this response. Provide a narrative that explains the rationale for the staffing structure and numbers.

(b) Qualifications and Responsibilities

Provide a list of qualifications and responsibilities for each position including all instructional and administrative positions.

(c) Staff Recruitment and Retention

NOTE: If a business plan submitted in conjunction with this proposal fully addresses this request, applicants may reference the business plan response in lieu of addressing these questions in full in the proposal.

Describe plans to recruit and retain staff, particularly high quality teachers including:

- The processes and policies to recruit and hire teachers and other staff; and,
- The strategies for retaining high quality teachers.

(d) Personnel Policies

Submit a copy of the proposed school's personnel policies.

What to Submit:

- Submit the response to Request 11(a-c) as a Microsoft Word® file named: **R-11ac - Personnel**
 - Attach Personnel Policies as a Microsoft Word® file named: **R-11d - Personnel Policies**
-

12. Partner Organizations

(a) Partner Information

- Explain the due diligence process used to select the partner(s), and its role in the development of this proposal.
- Describe any partner organizations that will have a significant relationship with the proposed school. Include the following information in relation to the partner organization:
 - The name of the partner organization(s);
 - The name, address, phone number, and e-mail of a contact person;

STANDARD REQUESTS

- A description of the nature and purpose of the relationship;
- Any contract or monetary arrangements; and,
- Names of proposed school board members affiliated with the organization(s).

NOTE: Applicants submitting a proposal in conjunction with a CMO do not need to include information about the CMO in this response. CMOs should submit a business plan in conjunction with the proposal. Refer to the Application Requirements section for information about submitting a business plan.

Not all non-CMO partner organizations are required to submit a business plan with the school proposal. Please refer to the Business Plan Requirements section in the Introduction for further information and contact the Institute with any questions.

The business plan requirements may be downloaded from the Institute’s website: <http://www.newyorkcharters.org/category/creation-resources/>.

(b) Partner Commitment

For each new proposed partnership, provide a letter of intent or commitment from a bona fide representative of the partner organization(s) indicating the terms and extent of the organization’s involvement with the charter school.

If the school would provide compensation to the partner(s) for any goods or services (i.e., a lease or fee), provide a copy of the term sheet or draft contract and include an explanation about how such services would be at or below fair market value.

What to Submit:

- Submit the response to Request 12(a) as Microsoft Word® file named:
R-12a - Partner Organizations
- Attach the letter(s) of commitment from the partner organization(s) as a Microsoft Word® or Adobe® Acrobat file named: **R-12b - Partner Commitment**

13. Governance

(a) Education Corporation Board Roles and Responsibilities

Describe the roles and responsibilities of the education corporation’s board of trustees including:

STANDARD REQUESTS

- Selecting school leader(s) (and partner or management organizations, if any);
- Monitoring school performance including fiscal performance; and,
- Evaluating school leaders (and partner or management organizations, if any) and holding them accountable for achievement of the school's mission and goals.

(b) Education Corporation Board Design

Describe the rationale for the proposed design of the education corporation's board of trustees including:

- Number of trustees;
- Officer positions;
- *Ex-officio* members (voting and non-voting);
- Standing committees or committees with the full authority of the board (if any);
- Delegation of authority to any committees, officers, employees, or contractors;
- Information to be received from the CMO, partner, school leadership, staff or contractors as applicable;
- Frequency of board and committee meetings;
- Procedures for publicizing and conducting monthly school board meetings in accordance with the Act and the NY Open Meetings Law;
- Trustee recruitment and selection process and criteria;
- New trustee orientation process; and,
- Board/trustee training and development.

(c) Stakeholder Participation

Explain how parents and school staff, including teachers, will provide input and participate in the governance of the education corporation.

(d) By-laws

Provide a draft of the proposed education corporation's governing by-laws.

(e) Code of Ethics

Provide a draft of the proposed education corporation's code of ethics.

STANDARD REQUESTS

The Code of Ethics must include a comprehensive and formal conflict of interest policy with specific procedures for implementing the policy and assuring compliance with the policy. The Code of Ethics and conflict of interest policy (which may be one document) must be written to apply not only to trustees, but also to officers and employees of the school in conformity with the NY General Municipal Law. Please see the Guidance Handbook for more details.

(f) Complaint Policy

Provide a draft of the proposed school's complaint policy. The complaint policy must include procedures for handling complaints including from staff, parents, employees, and contractors.

What to Submit:

- Submit the response to Request 13(a-c) as Microsoft Word® file named: **R-13ac - Governance**
- Attach Board By-laws as a as Microsoft Word® file named: **R-13d - Bylaws**
- Attach Code of Ethics as a as a Microsoft Word® file named: **R-13e - Code of Ethics**
- Attach Complaint Policy as a as a Microsoft Word® file named: **R-13f - Complaint Policy**

14. District and School Relations

- (a) Provide strategies for establishing and maintaining an ongoing relationship with the local school district including any foreseen opportunities or challenges.
- (b) Provide a description of low-performing schools in the area where the proposed charter school intends to be located and explain how the charter school might partner with those schools to share best practices and innovations.

What to Submit:

Submit the response to Requests 14(a-b) as a Microsoft Word® file named:

R-14 - District Relations

STANDARD REQUESTS

15. Student Demand, Community Support, Recruitment, and Retention

(a) General Student Population

Provide a narrative description of student demand. Explain how it will enable the school to meet its proposed enrollment.

(b) Target Population Enrollment

NOTE: Presenting a plan to recruit and retain target populations is a minimum statutory requirement. For further information, refer to the Guidance Handbook.

Explain how the school will meet or exceed the enrollment and retention targets established by the SUNY Trustees for students with disabilities, ELLs, and FRPL students. The response should:

- Cite the proposed school’s enrollment and retention targets as determined through the enrollment and retention calculator found here:
www.newyorkcharters.org/operate/existing-schools/enrollment-retention/;
- Articulate the recruitment strategies the school will employ to attract each target population to the school (including outreach to parents in the community for whom English is not their primary language);
- Describe any at-risk admissions factors, set-asides, or “preferences” the school would offer to increase the likelihood of enrolling targeted students;

Note that including preferences beyond one extra weight (ticket) in the lottery may make the proposed school ineligible to receive federal Charter School Program (“CSP”) grant funding. See Appendix A and the *Guidance Handbook* for further information; and,

- Provide a brief explanation of the efforts, resources, structures, or programs that the school will employ to retain these students and how the school will monitor the efficacy of such efforts including disaggregation of student performance data for each subgroup.

(c) Evidence of Student Demand

Describe and provide evidence of the demand for the school (e.g., petitions that clearly indicate signers have students of age to enroll in the school and would consider enrolling them in the school). If using waitlists as evidence of demand, provide an estimate based on experience of how many waitlist entries it takes to fill a seat.

STANDARD REQUESTS

NOTE: If evidence of student demand overlaps with evidence of community support, it is not necessary to duplicate documents. Please clearly describe how any specific evidence of community support also explicitly or implicitly demonstrates student demand.

(d) Community Support

Describe support for the proposal from community stakeholders or others including an analysis of both the depth of support and opposition to the school.

(e) Evidence of Community Support

Submit examples, documents, etc. that provide evidence of support.

(f) Admissions Policy

Describe the admissions policy for the school including any at-risk designations or set-asides, and how the school intends to apply the statutory preferences for returning students, siblings, students residing in the school district or CSD of location of the charter school, and employees of the education corporation or CMO (up to a 15% set aside) in accordance with the Act.

Further Institute guidance relating to school admissions, including a new employee and CMO employee preference, is available at:

<http://www.newyorkcharters.org/applications-admissions-materials/>.

What to Submit:

- Submit the response to Requests 15(a-b) as a Microsoft Word® file named:
R-15abd - Student Demand
 - Attach evidence of student demand as a Microsoft Word® or Adobe® Acrobat file named:
R-15c - Evidence of Demand
 - Submit the response to Requests 15(d-e) and attach evidence of community support as a Microsoft Word® or Adobe® Acrobat file named:
R-15e - Evidence of Support
 - Attach the school's admissions policy as a Microsoft Word® file named:
R-15f - Admissions Policy
-

STANDARD REQUESTS

16. Facility

(a) Facility Needs

Describe the facility needs of the proposed school for each year of the charter period including any unique features necessary to implement the school design and academic program including:

- The desired location of the school facility;
- The number of general education classrooms required each year;
- Any additional classroom space required for special education or ELL services, labs, specialty classes, and intervention or enrichment programs;
- Space requirements for administrative functions, food services, a nurse's office, and physical education; and,
- If the applicants intend to offer a residence program for students, describe the facility requirements to support this program, overnight staffing, and include specific and detailed information regarding the number of residence rooms, configuration, restrooms, food service, and other facility-related needs.

(b) Facility Selection

Describe the efforts to date to secure a facility for the school including:

- If the applicants have identified a facility, a description of the facility and how it meets the school's needs including its location and whether it is new construction, part of an existing public or private school building, or must be renovated for use;
- How the proposed facility will be able to meet NYSED (outside of NYC), or New York City Department of Buildings School Use ("G"), and state sanitary specifications by commencement of the first year of operation;
- If the applicants have not identified a facility, explain the plans for securing a suitable facility and preparing it for use by the time the school would open (including assuring that it meets specifications). Also, explain any contingency planning including the associated costs;
- If an applicant seeks to be located in any public school facility as a primary option, he or she must clearly state these plans and indicate that a facility has *not* been located *unless* all necessary governmental approvals for the facility have been obtained;
- If co-located space is the primary facility plan and the budget template has been completed under that assumption but the applicant would also investigate other

STANDARD REQUESTS

options, discuss the alternative plans in a narrative. If the Institute deems it necessary, a budget reflecting the secondary assumptions may be requested; and,

- If another organization is assisting the applicants in obtaining facilities, provide information about such organization.

(c) Facility Related Conflicts of Interest

If the charter school education corporation or its CMO or partner organization would own or lease a facility, provide a description of the ownership or lease arrangement indicating specifically any potential conflicts of interest and arrangements by which the education corporation would manage or avoid such conflicts. Note that in cases where there is a potential conflict, the Institute will likely require a fair market valuation of the cost of the facility supported by independent appraisers. Additionally, no education corporation trustee may have an ownership interest in a facility.

(d) Additional Facility Information

Provide Information such as blueprints, maps, certified estimates, etc., as well as documentation of any commitment (e.g., a deposit, written assurance, lease, etc.) to use a particular facility, as part of this response.

NOTE: If a facility has already been identified, include certification from an architect that:

- The proposed facility can meet NYSED or NYC specifications, as applicable, by the date the school would commence instruction; and,
- The cost of bringing the facility into compliance with the specifications. These costs must be accounted for in the proposed start-up budget.

What to Submit:

- Submit the response to Request 16(a-c) as a Microsoft Word® file named: **R-16ac - Facilities**
- Attach supporting documents as Microsoft Word® or Adobe® Acrobat files named: **R-16d - Facility Documents**

17. Food Services

Describe the plans for food services the charter school will provide.

STANDARD REQUESTS

What to Submit:

Submit the response to Request 17 as a Microsoft Word® file named: **R-17 - Food Services**

18. Health Services

Describe the plans for health services the charter school will provide.

What to Submit:

Submit the response to Request 18 as a Microsoft Word® file named: **R-18 - Health Services**

19. Transportation

Describe the transportation arrangements for students including arrangements for students who would not qualify for public school transportation under Education Law § 3635. Also describe any supplemental transportation arrangements planned with sending school districts. Include a discussion of any transportation for Saturday school, test preparation, or any transportation that does not align with district options.

What to Submit:

Submit the response to Request 19 as a Microsoft Word® file named: **R-19 - Transportation**

20. Insurance

Describe the insurance coverage the charter school education corporation will carry for the school including the name of the insured and amounts of insurance for liability, property loss, and personal injury and any school owned or leased vehicles or other property. Please include the costs for annual premiums in the proposal budget(s).

What to Submit:

Submit the response to Request 20 as a Microsoft Word® file named: **R20 – Insurance**

21. Fiscal Soundness

(a) Budget Narrative

Discuss in narrative form how the start-up budget plan, the first-year operational budget and cash flow, and the five-year budget plans are fiscally sound and that sufficient start-up funds would be available to the proposed school. Provide the rationale for, or source of, the assumptions upon which the budgets rest, noting specifically which expenses rely on funding from soft money and when the funding for these expenses will transfer to recurring revenue streams, and explain how the budgets support the implementation of the academic program described in the proposal. Please note that schools that include at-risk designations, “preferences,” or set-asides in their admissions policies (with the exception of one extra weight in the lottery) may not be eligible for federal CSP grant funding.

(b) Financial Planning

Explain the process the school will use to develop its annual budget including:

- Who will be involved;
- How needs will be identified and weighed;
- The timeline for creating and approving budgets; and,
- Procedures for monitoring and modifying budgets and on what interval.

(c) Fiscal Audits

Describe the school’s plans for at least annual independent fiscal audits conducted by a certified public accountant or certified public accounting firm licensed in New York State. Please note that specific assurances as to fiscal audits are included in the attached Assurances Regarding the Provision of Fiscal Audits and Dissolution.

(d) Dissolution Procedures

Provide a brief narrative of the procedures that the school would follow, in addition to the SUNY Closure Plan, in the event of closure and dissolution. Please note that specific

STANDARD REQUESTS

assurances as to dissolution are included in Appendix B: Assurances Regarding the Provision of Fiscal Audits and Dissolution.

(e) Budget Template

Complete the 2018 RFP Budget Template which can be downloaded from:
www.newyorkcharters.org/category/creation-resources/.

Newly formed applicant groups should submit one budget for each proposed school.

Applicants should submit a budget that reflects the most likely facility cost scenario when the school is to begin operation. If a proposal includes a budget that assumes a district provided facility, and applicants later secure a private facility, the Institute will require a revised budget.

(f) Letters of Commitment

Attach letters of commitment for any funding from private contributions, grant funds, or other philanthropic sources included in the school budget. List the amounts and the anticipated uses for the funding.

(g) Non-SUNY Financials

This request pertains only to applicants associated with one or more private or charter schools that SUNY does not authorize. All other applicants should indicate, "Request is not applicable" in response to this Request.

Attach the following documents covering the last five years for each private or charter school that SUNY did not authorize including any out of state school that is currently associated with a replicating applicant:

- IRS Form 990s;
- Audited financial statements; and,
- Management or Advisory Letters from the independent auditor (if applicable).

Note that this request seeks school level information about individual schools. Applicants seeking to replicate a under a larger network should submit a business plan completed by the network in conjunction with the proposal, which requests similar information at the network level. See the *Business Plan Overview and Requirements for Applicants* located at: www.newyorkcharters.org/category/creation-resources/. If information responsive to this Request is contained in a business plan, reference the business plan in this Response.

STANDARD REQUESTS

What to Submit:

- Submit the response to Requests 21(a-d) as a Microsoft Word® file named:
R21ad - Fiscal Soundness
 - Attach the Budget Template as a Microsoft Excel® file named: **R-21e - Budget Template**
 - Attach Letters of Commitment as a Microsoft Word® or Adobe® Acrobat file named:
R-21f - Letters of Commitment
 - Attach Non-SUNY Financials as an Adobe® Acrobat file named: **R-21g - Non-SUNY Financials**
-

22. Action Plan

Provide a detailed action plan outlining the steps the founding group will undertake to ensure a successful start-up. In a well-organized chart, the action plan should include:

- All projected key steps in the pre-opening period (from SUNY approval through the commencement of instruction) including, but not limited to, hiring personnel, setting up organizational, legal and financial structures, securing funding, and selecting or developing critical aspects of the school's academic program including the curriculum;
 - The start date and projected completion date of each task; and,
 - The person(s) responsible for each task.
-

What to Submit:

Submit the response to Request 22 as a Microsoft Word® or Microsoft Excel® file named:
R-22 - Action Plan

SUPPLEMENTAL INFORMATION

23. Supplemental Narrative

(a) If there is any additional information that would help the Institute and SUNY Trustees evaluate the proposal, please describe it here and provide a rationale for its inclusion. If no supplementary information is necessary, please indicate that this Request is not applicable.

(b) Supplemental Attachments

Submit attachments, documents, etc., discussed in response to part (a) above. If no supplemental documents are necessary, please indicate that this Request is not applicable.

What to Submit:

- Submit the response to Request 2(a) as a Microsoft Word® file named:
R-23a - Supplemental Narrative
 - Attach Supplemental and Support Documents as a Microsoft Word® or Excel, or Adobe® Acrobat file(s) named: **R-23b - Supplemental Attachments**
-

SUNY

Request for Proposals (2018)

REPLICATION REQUESTS

Application questions (requests) for all those seeking to replicate an existing SUNY authorized charter school that was chartered after August 2010.

PROPOSAL REQUESTS FOR APPLICANTS SEEKING TO REPLICATE AN EXISTING SUNY AUTHORIZED CHARTER SCHOOL

WHO MAY USE THE REPLICATION REQUESTS?

Any education corporation that was authorized by the SUNY Trustees after August 2010, and is seeking to operate one or more new schools — whether under their existing education corporation or by creating a new education corporation — is eligible to use the Replication Requests.

NOTE: Applicants who propose a significantly different academic model for the proposed new school than the replicating school should not use the Replication Requests and should instead use the Standard Requests even if the school would be within an existing education corporation.

INCORPORATING BY REFERENCE

Replicating applicants may choose to incorporate certain responses by reference to the terms of operation of an existing charter agreement, or a prior application (new or renewal), instead of providing a full response to each request. The Replication Proposal Checklist ("Checklist") helps replicating applicants easily and accurately incorporate by reference. The Checklist also simplifies the process by allowing replicating applicants to omit responses from their proposals where such responses are simply referencing an existing charter without any modification or where a response is optional or only applicable to some applicants.

Applicants proposing changes to an existing program may find it helpful to refer to the Standard Requests instructions for the Institute's current expectations and guidance.

While the information provided in this section outlines the requirements of each Request, the *Guidance Handbook: A Resource for Applicants Responding to the 2018 SUNY Request for Proposals* (Guidance Handbook) includes detailed overall guidance and specific instructions related to Requests.

REQUESTS

Please respond to each request in its entirety. If any section of a request is not applicable, please include that section in the application along with a response indicating it is not applicable.

REPLICATION REQUESTS

REPLICATION PROPOSAL CHECKLIST

Complete the Replication Proposal Checklist found here:

www.newyorkcharters.org/category/creation-resources/.

Carefully complete each column per the instructions below.

Column A

- For each relevant request, indicate if the proposal response incorporates an existing document by reference or not. Note that applicants may only incorporate materials that SUNY Trustees have already approved.
- Applicants who do not incorporate a response by reference should select “No” and move to the next request on the Checklist. In this case applicants should provide a complete response to the request.

Column B

- If the response applies to all schools in the education corporation (effectively revising the terms of operation of the existing schools), select “All schools.”
- If the response applies only to the proposed school(s) and not to other schools in the education corporation, select “Proposed School.”
- Applicants establishing a new education corporation should select “N/A” (not applicable).

Column C

For each relevant request, indicate if the proposal response incorporates an existing document by reference with revisions (“Yes”), with no revisions (“No”), or if the proposal includes an entirely new response (“N/A”).

- For the given request, incorporating by reference with no revisions indicates that the approach in place at the replicating school would be used at the proposed school. Applicants who incorporate by reference with no modifications should not submit a response to the request.
- Incorporating by reference with revisions suggests that the proposed school would use a substantially similar approach as the replicating school, but would apply some small differences. For example, the applicant may incorporate the replicating school’s special education program, except to add one special education setting that is not part of the replicating school’s original charter. The corresponding response should only include a description of the proposed revision.

REPLICATION REQUESTS

Column D

- Input the title of the part of the original, renewal, merger, or revision application being incorporated by reference. For example, if the applicants choose to incorporate by reference the special education services of a school approved by the SUNY Trustees under the January 2011 RFP, the corresponding information to be supplied should read, “Attachment 13(a) – Students with Disabilities, January 2011 Smith Charter School Terms of Operation as amended to date” that explains the special education services for the school including any later material or non-material revisions.
- Applicants incorporating by reference should be careful to provide a response that includes all of the information required in the relevant 2018 RFP Request. If SUNY approved a proposal that did not include information required in the 2018 RFP, then supplement the response incorporated by reference, or submit a new, full response.
- Since renewal applications do not include all of the information required for a new school proposal, it may be necessary to reference the original charter if the replicating school has been renewed. If the Institute approved a material revision to the replicating school’s charter, it would be helpful for the applicant to include the date(s) of the original approval, the renewal, and of the material revisions, as applicable. For example, “Response 12 as amended by the charter revision of March 2013.”
- Applicants do not need to note non-material revisions, but a best practice would be to draft those changes into the response and indicate that it would be applicable to the entire charter school education corporation as amended.

Column E

- Indicate the year that SUNY approved the relevant section of the charter. Typically, this would be the date that the SUNY Trustees approved the replicating school’s original charter, renewal charter, a merger, or a material revision.

What to Submit:

Submit the completed electronic copy of the Replication Proposal Checklist, which may be downloaded from www.newyorkcharters.org/category/creation-resources/, as a Microsoft Excel® file named: **R-00b - Replication Checklist**

SCHOOL ESTABLISHMENT

1. Community Need and Proposed School Impact

(a) Community Description and Need

Provide an analysis of the community and target population for the school including:

- A description of the community from which the proposed school intends to draw students;
- Community demographics;
- A description of the specific population of students the school intends to serve;
- The applicants' rationale for selecting the community;
- Performance of local schools in meeting the community's need; and,
- How the proposed school would provide a needed alternative for the community.

(b) Programmatic Impact

Describe the programmatic impact the proposed charter school would have on existing public and nonpublic schools in the same geographic area as the proposed school location. Responses should include:

- A table listing the existing educational options and grades served available to the target population including all district, charter, and private schools in the same geographic area;
- Information demonstrating a thorough analysis of existing educational options for the community and target population;
- Analysis of how the proposed school's enrollment plan would impact the enrollment and programmatic viability of the public and non-public schools in the same geographic area; and,
- Analysis of the provision of novel or different programs or instructional approaches compared to those currently in place in the targeted community.

(c) Fiscal Impact

Complete the fiscal impact table included in the budget template and include a copy of it with this response. Discuss the fiscal impact of the school on other public and non-public schools in the area including:

- Enrollment expectations;

REPLICATION REQUESTS

- Per Pupil Allocation assumptions;
 - Dollar amount the proposed charter school anticipates receiving from each district in Per Pupil Funding;
 - Other projected revenue the proposed charter school anticipates receiving from the district (special education, grant, etc.);
 - Projected budget for the school district of location (please note the source and year for this figure); and,
 - Yearly projected impact as a percentage of each sending district's budget (for districts project to send at least 10 students).
-

What to Submit:

Submit the narrative response to Request 1 as a Microsoft Word® file named:
R-01ac - Community Need and Impact

2. Addressing the Need

(a) Mission

If the proposed school is adopting the same mission as the replicating school, incorporate the missions by reference.

If the mission statement of the proposed school is different from the current mission statement of the replicating school, provide the mission statement and an explanation of why the mission is different. Additionally, if applicable, indicate if the proposed mission statement would apply to all schools in the education corporation.

(b) Key Design Elements

If the proposed school is adopting the replicating school's Key Design Elements, incorporate the Key Design Elements by reference.

If the Key Design Elements of the proposed school are different from the current Key Design Element of the replicating school, provide the Key Design Elements and an explanation of why they are different. Additionally, if applicable, indicate if the proposed Key Design Elements would apply to all schools in the education corporation. This response should not exceed five pages in length.

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(c) Draft Accountability Plan

Complete the Accountability Plan template available on the Institute’s website at: <http://www.newyorkcharters.org/reporting-requirements/accountability-plan-draft/>. The web page includes additional detail to assist the applicant in drafting the required SUNY academic Accountability Plan. This Response should serve as a **draft** based on the applicant’s understanding of the Institute’s accountability requirements and align with the proposed school model. Institute staff will work with successful applicants in the first year of the school’s operation to finalize the plan.

What to Submit:

- Submit the narrative response to Requests 2(a-c) as a Microsoft Word® file named:
R-02ab - Addressing Need
 - Attach a draft accountability plan as a Microsoft Word® file named:
R-02c - Accountability Plan
-

3. Proposal History

(a) Applicant Information

Include the name of the replicating Education Corporation board chair as the nominal applicant.

(b) Proposal History

Newly forming education corporations should describe how the team formed and the relationship of its members to each other. Clearly describe the process used to develop the proposal. Discuss any assistance the group received from outside advisors, for example, support organizations or consultants (even if these outside advisors are not active members of the founding group).

SUNY education corporations seeking authority to operate additional schools may indicate “not applicable.”

(c) Application Team Members

Provide a brief description of team members involved in preparing this proposal and their roles. Do not include information about current or proposed board members.

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(d) Board Members

Complete the following table for all members of the current/proposed education corporation board, including any currently vacant seats that the board would fill by the end of the first year of operation (e.g., a seat for an ex-officio parent representative).

Add an asterisk (*) next to the names of any board members of an existing education corporation the Institute has not yet approved. By including such members here, it means those members would only be approved if the application is approved. If an existing SUNY authorized education corporation wants to add members regardless of whether a new school is approved, please use the forms found at:

<http://www.newyorkcharters.org/reporting-requirements/board-members-new/> and do not include the names here. (The proposal may have to be updated later with approved education corporation trustees.)

For replicating organizations seeking to create a new charter school education corporation:

- A minimum of five members must be identified when the proposal is submitted.
- In circumstances where persons affiliated with a CMO will serve on the education corporation board, at least six or seven trustees must be identified when the proposal is submitted. Please see the Guidance Handbook for more details.
- Paid employees of the school may generally not serve as voting members of the board including administrators and teachers, except perhaps in limited circumstances. Please see the Guidance Handbook for further information.

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PROPOSED BOARD MEMBERS

TRUSTEE NAME	POSITION ON THE BOARD (OFFICER OR CONSTITUENT REPRESENTATIVE)	COMMITTEE AFFILIATIONS (IF ANY)	AREA OF EXPERTISE AND/OR ADDITIONAL ROLE AT SCHOOL (PARENT, STAFF, ETC.)	VOTING	EX-OFFICIO

(e) Description of Community Outreach Efforts

NOTE: Community outreach is a minimum statutory requirement. For further information about this requirement, refer to the Guidance Handbook and to the Letter of Intent section of the RFP.

Explain:

- The methods used to inform stakeholders in the intended community about the proposed charter school;
- The strategies used to solicit community input regarding the educational and programmatic needs of students and the plan to meet those needs;
- The form and nature of feedback received from community stakeholders and the process for incorporating that feedback into the submitted proposal; and,
- The extent to which, if at all, community input regarding the educational and programmatic needs of students was incorporated into the final proposal.

(f) Withdrawn, Rejected, and Concurrent Proposals (SUNY and/or Other Authorizers)

- Indicate whether this proposal was previously withdrawn from or rejected by the SUNY Trustees. If yes, provide:
 - The name of the proposed charter school(s) when previously submitted;
 - The date(s) of the previous submission(s); and,

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- A summary of what has changed in the proposal since its previous submission(s) and the reasons therefore.
- Indicate whether the applicant and/or founding team has previously applied for a charter from a charter entity other than the SUNY Trustees. If yes, provide:
 - The name of the charter entity;
 - The name(s) of the proposed school(s) and the date(s) when the application(s) were submitted;
 - The status of those applications;
 - Describe any changes made to the application following the withdrawal or denial of the application evident in this proposal; and
 - If any members of the founding group withdrew an application for a substantially similar school from consideration by a charter entity or if such an entity ever denied such an application, provide the reasons for the withdrawal or denial. If the application was granted, but the charter school is no longer in existence, please provide an explanation.

(g) Letters of Justification for previously denied applications

If a charter entity has provided any formal written documentation to explain or justify a decision to not move an application for a substantially similar school forward (resulting in an applicant withdrawal or denial of the application), attach the document as part of this Response.

(h) Founding Team Resumes

SUNY replicators may indicate “not applicable.”

(i) Board Member Credentials

- Submit a brief biographical statement for any newly proposed trustees that were not included in the Letter of Intent.
- Submit a resume for any newly proposed trustees that were not included in the Letter of Intent.
- Complete, sign, and submit a Request for Information Form (“RFI”) for each proposed board member who is not currently on a SUNY approved charter school education corporation board (as identified with an asterisk (*) in the table above). The RFI form is available at: <http://www.newyorkcharters.org/reporting-requirements/board-members-new/>.

(j) Evidence of Outreach

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NOTE: Community outreach is a minimum statutory requirement. For further information about this requirement, refer to the Guidance Handbook.

This response should include ample and concrete evidence that the applicants conducted the described community outreach.

What to Submit:

- Submit the narrative response to Request 3(a-f) as a Microsoft Word® file named:
R-03af - Proposal History
- Attach any letters of justification as Microsoft Word® or Adobe® Acrobat files named:
R-03g - Letters of Justification
- Attach founding team resumes as Microsoft Word® or Adobe® Acrobat files named:
R-03h - Founding Team Resumes
- Attach board member resumes and Request for Information forms, as Microsoft Word® or Adobe® Acrobat files named:
R-03i - Board Member Credentials
- Attach any evidence of community outreach as Microsoft Word® or Adobe® Acrobat files named: **R-03j - Outreach Evidence**

4. School Enrollment

- (a) In a narrative response, describe the following aspects of the school's enrollment plan:
- The extent to which the school's grade configuration aligns with the school district of location and how any misalignment may impact the school;
 - Any differences in eligible or minimum age in the same grades between schools;
 - The pattern of growth over the charter term including anticipated student attrition, the rationale for the attrition rate, and plans to replace or limit the intake of students;
 - Whether the presented education corporation enrollment would require any revisions to currently chartered enrollment;
 - A statement about any growth that the applicants may seek in a future charter period if the school is renewed; and,

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- If the intent is for a school to offer any grades not already offered by a school within the replicating education corporation, please provide the rationale for the enrollment plan.
- (b) Complete the student enrollment table provided in the budget template and include a copy of it here.
- (c) Complete the Statistical Overview – Existing Schools chart for any currently operating public or private school(s). The chart is available at: www.newyorkcharters.org/category/creation-resources/.
-

What to Submit:

- Submit the response to Request 4(a-b) as a Microsoft Word® file named: **R-04ab - Enrollment**
 - If applicable, submit the Statistical Overview – Existing Schools chart as a Microsoft Excel® file named: **R-04c - Statistical Overview**
-

ACADEMIC SUCCESS

5. Curriculum and Instructional Design

If the proposed school is adopting the replicating school's academic program, incorporate the program by reference. If applicable, note any changes to the original model and indicate if these changes pertain to the proposed school only, or would modify the terms of the entire education corporation. Describe any changes under the relevant headings below:

- (a) Curriculum Selection and Process;
- (b) Assessment System;
- (c) Instructional Methods;
- (d) Course or Subject Overview;
- (e) Promotion and Graduate Policy; and,
- (f) Programmatic Audit.

NOTE: that applicants who propose a significantly different academic model for the proposed new school than the replicating school should not use the Replication Requests, and should instead use the Standard Requests.

What to Submit:

- Submit the response to Requests 5(a-e) as a Microsoft Word® file named:
R-05ae - Curriculum and Instruction
- Submit the response to Request 5(f) as a Microsoft Word® file named:
R-05f - Programmatic Audit

6. Calendar and Schedules

If the proposed school is adopting the replicating school's calendar and schedule, incorporate the calendar and schedule by reference, note the dates of the first and last day of classes for the first year of operation, and include an assurance that the school will provide at minimum the statutorily required amount of instructional time. If applicable, note any changes to the original schedule and indicate if these changes pertain to the

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proposed school only, or would modify the terms of the entire education corporation.
Describe any changes under the relevant headings below:

- (a) School Calendar;
 - (b) Sample Student Schedule; and,
 - (c) Sample Teacher Schedule.
-

What to Submit:

Submit the response to Request 6 as a Microsoft Word® file named:

R-06ac - Calendar and Schedules

7. Specific Populations

If the proposed school is adopting the replicating school's programs to address the needs of generally at-risk students, special education students, ELLs, and advanced and/or gifted students, incorporate the programs by reference. If applicable, note any changes to the original the model under the relevant headings below and indicate if these changes pertain to the proposed school only, or would modify the terms of the entire education corporation.

- (a) Struggling Students;
 - (b) Students with Disabilities;
 - (c) English Language Learners; and,
 - (d) Gifted and Advanced Students.
-

What to Submit:

Submit the response to Requests 7(a-d) as a Microsoft Word® file named:

R-07ad - Specific Populations

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8. Instructional Leadership

If the proposed school is adopting the same instructional leadership and professional development models as the replicating school, incorporate the programs by reference. If applicable, note any changes to the original model and indicate if these changes pertain to the proposed school only, or would modify the terms of the entire education corporation. Describe any changes under the relevant headings below:

- (a) Instructional Leadership Roles;
 - (b) On-going Teacher Supervision and Support;
 - (c) Professional Development; and,
 - (d) Teacher Evaluation and Accountability.
-

What to Submit:

Submit the response to Requests 8(a-d) as a Microsoft Word® file named:
R-08ad - Instructional Leadership

9. School Culture and Discipline

If the proposed school is adopting the same approach to school culture, and using the same discipline, special education discipline, and dress code policies as the replicating school, incorporate these by reference. If applicable, note any changes to the original model or policies under the relevant headings below and indicate if they pertain to the proposed school only, or would modify the terms of the entire education corporation.

- (a) School Culture and Discipline;
- (b) Discipline Policy (general education);
- (c) Special Education Policy; and,
- (d) Dress Code Policy.

What to Submit:

- Submit the response to Request 9(a) as Microsoft Word® file named:
R-09a - Culture and Discipline
 - Attach the school's Discipline Policies for general education students as a Microsoft Word® file named: **R-09b - Discipline Policy**
 - Attach the school's Discipline Policies for special education students as a Microsoft Word® file named: **R-09c - Special Education Policy**
 - Attach the school's Dress Code as a Microsoft Word® file named: **R-09d - Dress Code**
-

ORGANIZATIONAL VIABILITY

10. School Management and Leadership

(a) Organizational Chart

Provide organizational charts for the 1st and 5th years of operation showing clear reporting structures between the school leader(s), the board of trustees, and staff. If the charter school intends to contract or partner with an entity for management or educational services, the organizational charts should also reflect that relationship.

(b) School Leadership and Management Structure

- Include a narrative explaining the lines of reporting and accountability, the rationale for choosing this structure, and the roles of any management or partner organizations.
- Describe the management practices and procedures, i.e., how the school will set priorities and make key organizational decisions.
- Outline the evaluation procedures and processes for staff in management positions.
- Describe recruitment plans for the school leader including:
 - The process and criteria the school will use to select the school leader;
 - Who has been, or will be involved in the selection process; and,
 - The role of any CMO or partner organization (if any) in the selection process.

What to Submit:

Submit the response to Request 10(b) as a Microsoft Word® or Adobe Acrobat® file named:
R-10ab – School Management and Leadership

11. Personnel

(a) Staffing Chart and Rationale

Complete the table provided in the budget template to list all instructional and non-instructional staff positions in the school during the first five years of operation and include a copy of the table in this response. Provide a narrative that explains the rationale for the staffing structure and numbers.

If the applicant is an existing SUNY authorized education corporation and proposes to operate additional school(s), please provide a second, clearly labeled chart indicating the aggregated staffing for the entire education corporation.

(b) Qualifications and Responsibilities

If the proposed school is adopting the same qualifications and responsibilities as the replicating school for all instructional and administrative staff, incorporate this Response by reference. If any of the positions in the proposed school or education corporation (if relevant) would have new qualifications or responsibilities, explain the changes as appropriate.

(c) Staff Recruitment and Retention

NOTE: If the business plan submitted in conjunction with this proposal fully addresses this request, applicants may reference the business plan response in lieu of addressing these questions in full in the proposal.

If the proposed school is adopting the same staff recruitment and retention policies and procedures as the replicating school, incorporate the staff recruitment and retention policies and procedures by reference. If any of the policies or procedures in the proposed school or education corporation (if relevant) would be different, explain the changes as appropriate.

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(d) Personnel Policies

If the proposed school is adopting the same personnel policies as the replicating school, incorporate the personnel policies by reference. If the school would use new personnel policies, attach the new policies and indicate if these changes pertain to the proposed school only, or would modify the terms of the entire education corporation.

What to Submit:

- Submit the response to Requests 11(a-c) as a Microsoft Word® file named: **R-11ac - Personnel**
- Attach Personnel Policies as a Microsoft Word® file named: **R-11d - Personnel Policies**

12. Partner Organizations

(a) Partner Information

If the proposed education corporation or school, as applicable, would have the same partnership relationship(s) as the existing corporation or replicating school, incorporate this section by reference, *but also provide a letter of support or resolution from the partner organization stating that its role would be the same with respect to the new school (see part (b) below)*. If the proposed or existing education corporation would have any new partnership(s) that will have a significant relationship with the proposed school, for each partner organization, provide the following:

- The name of the partner organization(s);
- The name, address, phone number, and e-mail of a contact person for the partner organization(s);
- A description of the nature and purpose of the education corporation's relationship with the organization(s) as it relates to the proposed school;
- Any contract or monetary arrangements between the education corporation and the partner organization(s) as it relates to the proposed school; and,
- The names of current or proposed board members affiliated with the organization(s).

The Institute, at its sole discretion, may determine that the partner organization must submit a business plan. The business plan requirements may be downloaded from the Institute's website: www.newyorkcharters.org/category/creation-resources.

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Please contact the Institute with any questions related to this request.

(b) Partner Commitment

- For each new proposed partnership, provide a letter of intent or commitment from a bona fide representative of each partner organization(s) indicating that the organization(s) will be involved in the charter school and the terms and extent of its involvement.
- For each partnership incorporated by reference above, provide a letter of support or resolution of the partner organization stating that its role would be the same with respect to the new school.
- If the school would provide compensation to the partner(s) for any goods or services (i.e., a lease or fee), provide a copy of the most recent executed agreement and any new proposed agreement. Include an explanation about how such services would be at or below fair market value.

What to Submit:

- Submit the response to Request 12(a) as Microsoft Word® file named:
R-12a - Partner Organizations
- Attach the letter(s) of commitment from the partner organization(s) as a Microsoft Word® or Adobe® Acrobat file named: **R-12b - Partner Commitment**

13. Governance

(a) Education Corporation Board Roles and Responsibilities

- Proposed New Education Corporation: If the proposed education corporation would have the same board roles and responsibilities as the replicating education corporation, incorporate the board roles and responsibilities by reference. If any aspect of the proposed education corporation board roles and responsibilities would be different from the replicating education corporation, complete this Response accordingly.
- Existing Education Corporation: If the existing SUNY authorized education corporation proposes to operate an additional school, and the governance structure would not change, incorporate this section by reference.

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If the existing SUNY authorized education corporation proposes to operate an additional school, and the governance structure would change, then a full response must be supplied that would include how the roles and responsibilities will change to address the governance of more than one school including any new procedures or committee structures. In such cases, describe the roles and responsibilities of the education corporation's board of trustees.

The response should explain the role of the board in:

- Selecting school leader(s) (and partner or CMOs, if any);
- Monitoring school performance; and,
- Evaluating school leaders (and partner or management organizations, if any) and holding them accountable for achievement of the school's mission and goals.

(b) Education Corporation Board Design

- If the proposed education corporation would have the same education corporation board design as the replicating school, incorporate the board roles and responsibilities by reference. If any of the following aspects of the proposed education corporation Board Design would be different from the replicating school's education corporation, describe the difference and provide the rationale for the relevant sections of this response.
- If the proposed new school would be governed by the existing education corporation board, and there would be any new committee structures, officers, or trustees describe those differences.
- Describe the rationale for the proposed design of the education corporation's board of trustees including:
 - Number of trustees;
 - Officer positions;
 - *Ex-officio* members (voting and non-voting);
 - Standing committees or committees with the full authority of the board (if any);
 - Delegation of authority to any committees, officers, employees, or contractors;
 - Information to be received from the CMO, school leadership, staff, or contractors as applicable;

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- Frequency of board and committee meetings;
- Procedures for publicizing and conducting school board meetings in accordance with the Act and the NY Open Meetings Law;
- Trustee recruitment and selection process and criteria;
- New trustee orientation process; and,
- Board/trustee training and development.

(c) Stakeholder Participation

If stakeholders are able to participate in school governance in the same manner as the replicating school, incorporate this section by reference. If there are any differences, explain how parents and school staff, including teachers, will be able to provide input and participate in the governance of the school.

(d) By-laws

Proposed new education corporation:

In cases where a new education corporation is being formed to operate the proposed school, provide the by-laws for the proposed education corporation.

Existing Education Corporation:

Only provide by-laws as indicated below if there would be changes to the by-laws of the education corporation as a result of being granted authority to operate the additional school(s).

NOTE: By-laws must conform to the applicable provisions of the NY Education, General Municipal, and Not-For-Profit Corporation Laws. By-laws that have not been reviewed or updated since changes to the Act in 2010 or changes to the Not-For-Profit Corporation Law in 2014 should be reviewed and, if necessary, submitted in full.

(e) Code of Ethics

- Proposed new education corporation: If the proposed education corporation would have the same Code of Ethics as the replicating education corporation, please note that, but also include the Code of Ethics with the name of the proposed education corporation. Note that changes in the Not-For-Profit Corporation Law in 2014 may necessitate changes to the Codes of Ethics regarding conflicts of interest. See the Guidance Handbook for more information.
- Existing Education Corporation: If there are no changes to the Code of Ethics, please state that fact and incorporate the response by reference. If any aspect of

REPLICATION REQUESTS

the Code of Ethics would be different from the replicating school, complete this Response accordingly.

- The Code of Ethics must conform to the applicable provisions of the General Municipal Law that have applied to charter schools since 2010 and the 2014 changes to the Not-For-Profit Corporation Law in 2014, which require certain conflicts of interest provisions. Applicants may not incorporate by reference a Code of Ethics that does not fully reflect the applicable General Municipal and Not-For-Profit Corporation Law provisions; rather, they must submit a full, up to date Code of Ethics.
- Attach the Code of Ethics of the education corporation. The Code of Ethics must include a comprehensive and formal conflict of interest policy with specific procedures for implementing the policy and assuring compliance therewith in accordance with the Not-For-Profit Corporation Law. The Code of Ethics and conflict of interest policy must be written to apply not only to trustees, but also to officers and employees of the school in conformity with the General Municipal Law.

(f) Complaint Policy

The complaint policy must include procedures for handling complaints including from contractors, staff, employees, and parents.

What to Submit:

- Submit the response to Request 13(a-c) as Microsoft Word® file named: **R-13ac - Governance**
- Attach Board By-laws as a as Microsoft Word® file named: **R-13d - Board Bylaws**
- Attach Code of Ethics as a as a Microsoft Word® file named: **R-13e - Code of Ethics**
- Attach Complaint Policy as a as a Microsoft Word® file named: **R-13f - Complaint Policy**

14. District and School Relations

- (a) Provide strategies for establishing and maintaining an ongoing relationship with the local school district including any foreseen opportunities or challenges.
- (b) Provide a description of low-performing schools in the area where the proposed charter school intends to be located and explain how the charter school might partner with those schools to share best practices and innovations.

What to Submit:

Submit the response to Requests 14(a-b) as a Microsoft Word® file named:

R-14 - District Relations

15. Student Demand, Community Support, Recruitment and Retention

(a) General Student Population

Provide a narrative description of student demand. Explain how it will enable the school to meet its proposed enrollment.

(b) Target Population Enrollment

NOTE: Presenting a plan to recruit and retain target populations is a minimum statutory requirement. For further information about this requirement, refer to the Guidance Handbook.

Explain how the proposed school will meet or exceed the enrollment and retention targets established by the SUNY Trustees for students with disabilities, ELLs, and FRPL students. The response should:

- Cite the proposed school’s enrollment and retention targets as determined through the enrollment and retention calculator found here:
www.newyorkcharters.org/operate/existing-schools/enrollment-retention/.
- Articulate the recruitment strategies the school will employ to attract each target population to the school (including outreach to parents in the community for whom English is not their primary language).
- Describe any at-risk admissions factors, set-asides, or “preferences” the school would offer to increase the likelihood of enrolling targeted students.

Note that including preferences beyond one extra weight (ticket) in the lottery may make the proposed school ineligible to receive federal Charter School Program (“CSP”) grant funding. See Appendix A and the *Guidance Handbook* for further information.

- Provide a brief explanation of the efforts, resources, structures, or programs that the school will employ to retain these students and how it will monitor the efficacy of such efforts including disaggregation of student performance data for each subgroup.

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(c) Evidence of Student Demand

Describe and provide evidence of the demand for the school (e.g., petitions that clearly indicate signers have students of age to enroll in the school and would consider enrolling them in the school). If using waitlists as evidence of demand, provide an estimate based on experience of how many waitlist entries it takes to fill a seat.

NOTE: If evidence of student demand overlaps with evidence of community support, it is not necessary to duplicate documents. Please clearly describe how any specific evidence of community support also explicitly or implicitly demonstrates student demand.

(d) Community Support

Describe support for the proposal from community stakeholders or others including an analysis of both the depth of support and opposition to the school.

(e) Evidence of Community Support

Submit examples, documents, etc. that provide evidence of support.

(f) Admissions Policy

If the proposed school is adopting the same admissions policy as the replicating school, incorporate the policy by reference. If applicable, note any changes to the original model or policies and indicate if these changes pertain to the proposed school only, or would modify the terms of the entire education corporation. Describe or attach any changes and attach the updated Admissions Policy.

Further Institute guidance relating to school admissions, including a new employee and CMO employee preference, is available at:

<http://www.newyorkcharters.org/applications-admissions-materials/>.

What to Submit:

- Submit the response to Requests 15(a-b) as a Microsoft Word® file named:
R-15abd - Student Demand
- Attach evidence of student demand as a Microsoft Word® or Adobe® Acrobat file named:
R-15c - Evidence of Demand
- Submit the response to Requests 15(d-e) and attach evidence of community support as a Microsoft Word® or Adobe® Acrobat file named:
R-15e - Evidence of Support

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- Attach the school's admissions policy as a Microsoft Word® file named:
R-15f - Admissions Policy
-

16. Facility

(a) Facility Needs

Describe the facility needs of the proposed school for each year of the charter period including any unique features necessary to implement the school design and academic program including:

- The desired location of the school facility;
- The number of general education classrooms required each year;
- Any additional classroom space required for special education or ELL services, labs, specialty classes, and intervention or enrichment programs;
- Space requirements for administrative functions, food services, a nurse's office, and physical education; and,
- If the applicants intend to offer a residence program for students, describe the facility requirements to support this program and overnight staffing, and include specific and detailed information regarding the number of residence rooms, configuration, restrooms, food service, and other facility related needs.

(b) Facility Selection

Describe the efforts to date to secure a facility for the school including:

- If applicants have identified a facility, a description of the facility and how it meets the school's needs including its location and whether it is new construction, part of an existing public or private school building, or must be renovated for use;
- How the proposed facility will be able to meet NYSED, or New York City Department of Buildings' School Use ("G") and state sanitary, specifications by commencement of first year of operation;
- If applicants have not identified a facility, explain the plans for securing a suitable facility and preparing it for use by the time the school would open (including assuring that it meets specifications), and, explain any contingency planning including the associated costs;

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- If an applicant seeks to be located in any public school facility as a primary option, he or she must clearly state these plans and indicate that a facility has *not* been located *unless* all necessary governmental approvals for the facility have been obtained;
- If co-located space is the primary facility plan and the budget template has been completed under that assumption but the applicant would also investigate other options, discuss those alternative plans in narrative. If the Institute deems it necessary, a budget reflecting the secondary assumptions may be requested; and,
- If another entity or organization is assisting the education corporation with obtaining facilities, please include information about such organization.

(c) Facility Related Conflicts of Interest

If the education corporation or its partners would own or lease a facility, provide a description of the ownership or lease arrangement indicating specifically any potential conflicts of interest and arrangements by which the education corporation would manage or avoid such conflicts. Note that in such cases where there is a potential conflict, the Institute will likely require a fair market valuation of the cost of the facility supported by independent appraisers. Additionally, no education corporation trustee may have an ownership interest in a facility.

(d) Additional Facility Information

Provide Information such as blue prints, maps, certified estimates, etc., as well as documentation of any commitment (e.g., a deposit, written assurance, lease, etc.) to use a particular facility, as part of this response.

NOTE: If a facility has already been identified, include certification from an architect that:

- The proposed facility can meet NYSED or NYC specifications, as applicable, by the date the school would commence instruction; and,
- The cost of bringing the facility into compliance with the specifications. These costs must be accounted for in the proposed budget.

What to Submit:

- Submit the response to Requests 16(a-c) as a Microsoft Word® file named: **R-16ac – Facilities**
- Attach supporting documents as Microsoft Word® or Adobe® Acrobat files named: **R-16d - Facility Documents**

17. Food Services

If the proposed or existing education corporation is adopting the same food services as the replicating school, incorporate the policy by reference. If applicable, note any changes to the original food services.

What to Submit:

Submit the response to Request 17 as a Microsoft Word® file named: **R-17 - Food Services**

18. Health Services

If the proposed or existing education corporation is adopting the same health services as the replicating school, incorporate the health services by reference. If there would be any changes to the health services, describe the plans for health services the charter school intends to provide. Please note that certain immunization requirements have recently changed requiring updates to older health services submissions.

What to Submit:

Submit the response to Request 18 as a Microsoft Word® file named: **R-18-Health Services**

19. Transportation

If the proposed or existing education corporation is adopting the same transportation as the replicating school, incorporate transportation by reference. If there would be any changes to transportation, describe the plans for transportation that the school would provide to students.

What to Submit:

Submit the response to Request 19 as a Microsoft Word® file named: **R-19 – Transportation**

REPLICATION REQUESTS

20. Insurance

If the insurance coverage for the proposed school will be the same as for the replicating school, incorporate the description of the coverage by reference and include a statement that an amendment or rider to the existing policy, or a new policy, will be secured for the new site(s) with the same coverage.

NOTE: It is not necessary to have a separate policy for each school within a single education corporation so long as it is clear that the education corporation is operating in multiple sites and each site is covered.

What to Submit:

Submit the response to Request 20 as a Microsoft Word® file named: **R-20 – Insurance**

21. Fiscal Soundness

(a) Budget

Discuss in narrative form how the start-up budget plan, the first-year operational budget and cash flow, and the five-year budget plans for the new school(s) are fiscally sound and that there would be sufficient start-up funds available to the proposed school. Provide the rationale for, or source of, the assumptions upon which the budgets rest, noting specifically which expenses rely on funding from soft money and when the funding for these expenses will transfer to recurring revenue streams, and explain how the budgets support the implementation of the academic program described or referenced in the proposal.

Existing SUNY authorized charter school education corporations proposing to operate additional school(s), must also submit a separate narrative and budget (using the required template to the extent feasible) for the entire education corporation, including the proposed school(s). Describe any corporate funds that will be used to support the start-up and operation of the proposed school(s) as well as any projected negative fiscal impact on the existing school(s). Also describe annual fundraising targets and strategies that would be used in support of each proposed replication.

Please note that schools using an at-risk admissions factor, “preference,” or set-aside may not be eligible to receive federal CSP funding.

(b) Financial Planning

REPLICATION REQUESTS

If the proposed or existing education corporation is adopting the same financial planning process as the replicating school's education corporation, incorporate this information by reference.

If the applicant is an existing SUNY authorized charter school and proposes to operate an additional school, also describe the financial planning capacity, management capacity, and any internal financial controls, policies or procedures at the overall education corporation level especially in relation to the gathering and distribution of financial information from multiple locations and the processing and decision making related to such information including at the education corporation board level. If this information has previously been provided to the Institute, it may be incorporated by reference into the current proposal.

(c) Fiscal Audits

If the proposed or existing education corporation is adopting the same fiscal auditing policies and procedures as the replicating school's education corporation, incorporate the policies and procedures by reference. Please note that specific assurances as to fiscal audits are included in the attached Assurances Regarding the Provision of Fiscal Audits and Dissolution.

Note that fiscal audit procedures must provide specific procedures for conducting independent audits of combined financial statements for the education corporation and all of its schools.

(d) Dissolution Procedures

Provide a brief narrative of the procedures that the school would follow, in addition to the SUNY Closure Plan, in the event of closure and dissolution. Please note that specific assurances as to dissolution are included in Appendix B: Assurances Regarding the Provision of Fiscal Audits and Dissolution.

Proposed new education corporation: If replicating applicants seeking to create a new education corporation are adopting the same dissolution procedures as the original education corporation, incorporate the procedures by reference. If applicable, note any changes to the original model or procedures. Please note that dissolution reserve funds are now required to be set aside commencing with the first year of instruction.

Existing Education Corporation: Replicating applicants proposing to add school(s) to an existing education corporation may incorporate the dissolution procedures by reference, but must also provide specific procedures for closing one or more, but not all of the schools operated by the education corporation, i.e., where the education corporation will still operate one or more schools post school closure. Please note that

REPLICATION REQUESTS

dissolution reserve funds are now required to be set aside commencing with the first year of instruction, and the requirements for multiple schools are different than for a single school. Please consult the Guidance Handbook.

(e) Budget Template

The 2018 RFP Budget Template is located at www.newyorkcharters.org/category/creation-resources/.

School Budget

Applicants should submit one budget that reflects the most likely facility cost scenario when the school is to begin operation. If a proposal includes a budget that assumes a district provided facility and applicants later secure a private facility, the Institute will require a revised budget.

Education Corporation Budget

Submit a separate Budget Template for the overall education corporation; e.g., to include the new school(s) and all existing schools. If the proposed school would create a new corporate/legal structure, then an education corporation budget is not required,

(f) Letters of Commitment

Provide letters of commitment for any funding sources from private contributions, grant funds, or other philanthropic sources included in the school budget. List the amounts and the anticipated uses for the funding.

(g) Non-SUNY Financials

This request pertains only to applicants associated with one or more private or charter schools that SUNY does not authorize. All other applicants should indicate, "Request is not applicable" in response to this Request.

Attach the following documents covering the last five years for each private or charter school that SUNY did not authorize including any out of state school currently associated with a replicating applicant:

- IRS Form 990s;
- Audited financial statements; and,
- Management of Advisory Letters from the independent auditor (if applicable).

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Note that this request seeks school level information about individual schools. Applicants seeking to replicate a under a larger network should submit a business plan completed by the network in conjunction with the proposal. If a business plan submitted with the proposal will contain the requested information, note this in response to this Request and do not include the information here.

What to Submit:

- Submit the response to Requests 21(a-d) as a Microsoft Word® file named: **R-21ad - Fiscal Soundness**
 - Attach the Budget Template as a Microsoft Excel® file named: **R-21e - Budget Template**
 - Attach Letters of Commitment as a Microsoft Word® or Adobe® Acrobat file named: **R-21f - Letters of Commitment**
 - Attach Non-SUNY Financials as an Adobe® Acrobat file named: **R-21g - Non-SUNY Financials**
-

22. Action Plan

Applicants may include an action plan if they believe it will provide information necessary to demonstrate the capacity of the founding group to open the school. Otherwise, please indicate, “No action plan included.”

What to Submit:

Submit the response to Request 22 as a Microsoft Word® or Excel® file named: **R-22 - Action Plan**

SUPPLEMENTAL INFORMATION

23. Supplemental Information

(a) Supplemental Narrative

If the applicant has any additional information that would be helpful to the Institute and the SUNY Trustees in their evaluation of the proposal, please describe it here and provide a rationale for its inclusion. If no supplementary information is necessary, please indicate that this Request is not applicable.

REPLICATION REQUESTS

(b) Supplemental Attachments

If applicable, include supplemental and support documents in support of the narrative.

What to Submit

- Submit the response to Request 23(a) as a Microsoft Word® file named:
R-23a - Supplemental Narrative
 - Attach Supplemental and Support Documents as a Microsoft Word® or Adobe® Acrobat file named: **R-23b - Supplemental Attachments**
-

Appendices

Appendix A - Charter Schools Program (CSP) Grant Priorities
Information

Appendix B - Assurances

CHARTER SCHOOL APPLICANT ELIGIBILITY INFORMATION FOR FEDERAL CSP GRANTS

The Charter Schools Program (“CSP”) is a federally funded program designed to increase the number of high quality charter schools throughout the country by supporting new charter schools during the three-year startup phase. NYSED is the sole administrator of the CSP grant in New York State; however, grant funds are available to all applicants, regardless of authorizer. After the SUNY Trustees approve a charter request, NYSED will contact applicants about the CSP grant. Applicants should be aware that NYSED will require additional information in order to allow access to the grant funds.

Note that while any school that the SUNY Trustees approve is likely to receive CSP funds, the following factors may cause the school to be ineligible:

- Applicants who offer admissions set-asides, absolute preferences, or separate lotteries for at-risk students.

Charter schools receiving CSP grants may weight admission lotteries as long as they only weight for one of the following subgroups: English language learners, students with disabilities, or students who are economically disadvantaged. Schools incorporating an at-risk preference into their lottery may only do so using the NYSED Weighted Lottery Generator. Additional information is available in the Guidance Handbook and in the Institute’s Lottery Guidance, available at www.newyorkcharters.org/applications-admissions-materials/. The U.S. Department of Education’s 2013 interpretation of federal non-regulatory guidance, may preclude applicants from offering certain admissions preferences to at-risk students while receiving funds from the CSP grant. The Institute expects that the U.S. Department of Education will permit weighted lotteries under certain conditions (one extra weight in the lottery for an at-risk designation) in the near future. The recently passed Every Student Succeeds Act may also influence this interpretation.

- Applicants partnering with a CMO that has received federal replication grant funds.

Pursuant to an opinion by the U.S. Department of Education, certain schools seeking to partner with a CMO that has been awarded federal replication grant funds may be ineligible for supplemental CSP Grant funds.

Applicants should direct all questions about CSP grants to NYSED. Further information about the CSP Grant Program is available at: www.p12.nysed.gov/psc/funding/201619cspnewapp.html

STANDARD CSP GRANT AND SUPPLEMENTAL FUNDING

Applicants potentially qualify for two types of CSP grants:

APPENDIX A: CHARTER SCHOOLS PROGRAM GRANT PRIORITIES

Standard CSP Grant

The standard grant award is \$550,000, which is distributed over three years. Applicants may include this base \$550,000 award in their proposed budgets, but should closely review the restrictions on these funds and be sure to propose using them appropriately. Failure to do so may result in the Institute finding that the proposed school is not likely to operate in a fiscally sound manner.

Supplemental CSP Funding

Applicants may be eligible for supplemental CSP funding for an amount up to \$250,000 based on whether a school satisfies either of two priorities: the Underserved Student Populations Priority or one of the Authorizer Program Design Priorities. Note that applicants may only receive supplemental funding once even if they meet more than one priority. While there are multiple Authorizer Program Design Priorities, the maximum total supplemental funding award remains \$250,000. For example, if an applicant receives the full standard grant of \$550,000, they could qualify for supplemental funding of up to \$250,000 once.

Applicants may not include Supplemental CSP Funding in their proposed budget even if they believe that they would qualify for the funding.

SUPPLEMENTAL CSP GRANT ELIGIBILITY CRITERIA

The supplemental CSP grant priorities are:

- **Underserved student populations priority** (supplemental funding of \$125,000). NYSED will provide up to \$125,000 supplemental CSP grant funding to those charter schools that have met one or more of the enrollment targets for students with disabilities, ELLs, or students who are eligible for the FRPL program, as prescribed by the SUNY Trustees and as required by Education Law § 2852(9-b) by the October Basic Education Data System (BEDS) student data reporting date in their first year of operation.
- **Authorizer program design priority** (supplemental funding of \$250,000). At SUNY's recommendation, NYSED will provide \$250,000 in supplemental CSP grant funding to charter schools that meet one or more of the following design priorities.
 - (a) **Applicants that would lease or purchase the proposed facility for a minimum of 3 years of operation.** The proposal must include a draft lease or purchase agreement or lease OR applicants must forward a draft lease or purchase agreement or lease to the Institute by April in the same year in which the school would open.
 - (b) **Applicants that include at least one or more key design elements incorporating the arts (visual arts, music, theatre, dance or other related) into the school design.** The proposal must

APPENDIX A: CHARTER SCHOOLS PROGRAM GRANT PRIORITIES

support the implementation of the arts as a key design element, for example through adequate staffing, funding, facilities plans, curricular materials, strategic partnerships, etc. Applicants that simply offer classes in the arts will not qualify for this authorizer preference. The arts must be a key component of the academic program design.

(c) **Applicants who partner with a persistently low performing district school to phase out that low performing school while establishing the proposed school.**

(d) Applicants replicating an existing SUNY authorized charter school that meets the following academic performance criteria at the time of proposed school approval:²

Replicating a Single K-8 School: The replicating school has achieved a 0.3 effect size³ in ELA and mathematics in two of the previous three years based on the Institute’s regression analysis of New York State assessment data.

If the replicating school does not have three years of state testing data, it could qualify if the Institute’s school evaluation findings indicate that the replicating school is on track to successfully meet the SUNY qualitative charter renewal benchmarks by the end of the charter term. The benchmarks are available at: www.newyorkcharters.org/suny-renewal-benchmarks/.

Replicating a High School: Replicating high schools must meet all of the following requirements to be eligible for supplemental funding:

- At least 75% of students in the 2nd year of a cohort (typically the 10th grade) have passed three or more Regents examinations in two of the three previous school years for which data is available;
- At least 75% of the students in the most recent graduation cohort must have graduated by the end of their 4th year in the cohort; and,
- The school must have procedures and systems in place to assist students in gaining admittance into college, track the matriculation of students into college,⁴ and support students as they transition to college.⁵ If the replicating

² Note that once the Trustees approve a replication, the Institute will use the most recent data available to assess an applicant’s eligibility for supplemental funding.

³ Charter schools authorized by the SUNY Trustees have in their Accountability Plans a measure of student performance on the state ELA and mathematics exams called Effect Size that compares the school’s achievement to that of similar public schools statewide. It reflects the difference between a school’s attained and predicted performance in each tested grade, relative to other schools with similar economically disadvantaged statistics and tested grades. The Institute conducts a regression analysis to compare predicted and actual school performance. An effect size of 0.3 demonstrates the school is performing higher than expected to a meaningful degree.

⁴ Examples may include high rates of completion of college entrance requirements, such as the Free Application for Federal Student Aid, individual applications for college entrance and systems to monitor student matriculation.

APPENDIX A: CHARTER SCHOOLS PROGRAM GRANT PRIORITIES

high school does not yet have a graduating cohort, it could qualify if the qualitative data collected during the Institute’s school evaluation visits indicates that the replicating school is on track to meet these criteria.

Should the SUNY Trustees approve a single existing SUNY authorized school for replication, the Institute will notify the applicant of its status related to this requirement prior to moving final paper work to NYSED for finalization of the charter and in relation to processing CSP paperwork.

Replicating as Part of a Network of Schools:⁶ The network’s record of student achievement must have met the standard for a single school listed above. If a network includes one or more schools that do not have three years of applicable data, those schools must demonstrate meeting the criteria during each of the years for which data is available.

At the Institute’s discretion, schools that do not meet the above criteria but who have a unique mission or specifically target at-risk students, may also be eligible for supplemental CSP funding.

⁵ Examples may include structured alumni programs that provide formal support structures for graduates, formal dialogue between school staff and college advisors regarding the academic performance of admitted students, etc.

⁶ The definition of a “network” for this purpose is broader than, but includes, the Institute’s definition of an Educational Service Provider as set forth in SUNY’s Charter Agreement. While CMOs and educational management organizations (EMOs) (other than for-profit organizations) would be included, shared service groups, and schools under common governance or affiliation, schools under a common licensing agreement may all be considered as one network. If a network had particular branding, strands or sub-organizational units, each one of those could also be considered a network. At this time, only schools operated in New York State will be considered part of a network.

ASSURANCES REGARDING THE PROVISION OF SPECIAL EDUCATION SERVICES

The Education Corporation provides the following assurances regarding the provision of special education and other services to students to be enrolled in the proposed charter school.

- The Education Corporation will adhere to all provisions of federal law relating to students with disabilities including the IDEA, Section 504 of the Rehabilitation Act of 1973 (“Section 504”), and Title II of the Americans with Disabilities Act (“ADA”) which are applicable to it.
- The Education Corporation will, consistent with applicable law, work with Local Educational Agency (“LEA”) school districts to ensure that all students with disabilities that qualify under the IDEA:
 - Have available to them a free, appropriate, public education (“FAPE”);
 - Are appropriately evaluated;
 - Are provided with an Individualized Education Program (“IEP”);
 - Receive an appropriate education in the least restrictive environment (LRE);
 - Are involved in the development of and decisions regarding the IEP, along with their parents; and,
 - Have access to appropriate procedures and mechanisms, along with their parents, to resolve any disputes or disagreements related to the school’s or school district’s provision of FAPE.
- The Education Corporation will employ, at a minimum, a properly certified individual as the school’s special education coordinator, whose responsibilities will include coordinating with Committees on Special Education (“CSEs”); providing information to and obtaining information from CSEs as needed throughout the year; determining if entering students have IEPs; and working with CSEs and school districts to ensure that all required special education and related services are being provided and that all IEPs are appropriate in the context of the charter school setting. The Education Corporation may permit the special education coordinator to take on additional administrative duties to the extent that they do not interfere with the coordinator’s responsibilities to ensure the school’s compliance with the IDEA, Section 504, and Title II of the ADA.
- The Education Corporation will make available, as required by law, a student’s regular and special education teachers (and other required school personnel) for meetings convened by such student’s CSE, and provide such teachers and personnel with copies of the student’s IEP.

APPENDIX B: ASSURANCES

- The Education Corporation will ensure that parents of children with special needs are informed of how their children are progressing on annual IEP goals and in the general curriculum at least as frequently as parents of regular education children.
- The Education Corporation will abide by the applicable provisions and regulations of the IDEA and the Family Educational Rights Privacy Act (FERPA) as they relate to students with disabilities including, but not limited to, having procedures for maintaining student files in a secure and locked location with limited access.
- The school's special education coordinator will retain such data and prepare such reports as are needed by each disabled student's school district of residence or NYSED in order to permit such entities to comply with federal law and regulations.
- The Education Corporation will comply with its obligations under the Child Find requirements of IDEA including 34 C.F.R. § 300.111, and will provide appropriate notification to parents in connection therewith as applicable, including notifying them prior to providing a child's name to a CSE for potential evaluation.
- The Education Corporation will not convene its own CSE, make IDEA evaluations of children suspected of being disabled, create IEPs, reevaluate or revise existing IEPs, or conduct due process hearings. The Education Corporation understands that these responsibilities are left solely to the CSE of the student's district of residence and will implement IEPs as written.
- Appropriate Education Corporation personnel will attend such training and technical assistance seminars regarding the education and servicing of special education students as is required by the SUNY Trustees including those sponsored by the NYSED.

ASSURANCES REGARDING THE PROVISION OF FISCAL AUDITS AND DISSOLUTION

The Education Corporation provides the following assurances regarding the provision of fiscal audits and dissolution of the Education Corporation.

FISCAL AUDITS

- The Education Corporation will provide for an annual independent fiscal audits conducted by a certified public accountant or certified public accounting firm licensed in New York State.
- The Education Corporation will ensure such consolidated audited financial statements include:
 - A statement of income and expenditures and a balance sheet for the most recent fiscal year for each school of the Education Corporation for which the Education Corporation has received approval to operate. A separate income and expenditure statement and balance sheet should be included for each approved school or site in a start-up phase, and for schools or sites for which opening has been delayed;
 - A statement of income and expenditures and a balance sheet for the most recent fiscal year for any central or regional back office component;
 - A statement of income and expenditures and a balance sheet for the most recent fiscal year for any other distinct component of the Education Corporation;
 - A consolidated statement of income and revenues and a consolidated balance sheet for the Education Corporation; and,
 - A federal single audit report, if applicable.
- An Education Corporation with the authority to operate multiple schools must provide specific procedures for conducting independent audits of consolidated financial statements for the Education Corporation and all of its schools.

DISSOLUTION PROCEDURES

The Education Corporation will:

- Create a communication plan for students, families, and staff. The communication plan shall take into account timing to ensure students are able to take advantage of other school choice options that may be available.
- Provide the Institute with the parent names and addresses of all students enrolled in the school, at the time, by grade to enable the Institute to communicate directly with families regarding the process as necessary.

APPENDIX B: ASSURANCES

- Transfer all student records, testing materials, etc. to the school district of location of the charter school and make available a copy of such records to each student's parent or legal guardian.
- Designate one or more trustees and/or employees to assist in the closure of the school, from an operational and financial perspective.
- Transfer the Education Corporation's fixed assets (if any, after the payment of all debts) in accordance with the law at the time of dissolution.
- Provide the procedures that the school would follow in the event of the closure and dissolution of the Education Corporation including for the transfer of students and student records, execution of a SUNY Closure Plan, and for the disposition of school assets.
- Establish an escrow account, in the case of a single-school education corporation, of no less than \$75,000 to pay for legal, final audit, and other wind up expenses associated with a dissolution should it occur. The budget shall reflect this commitment and include funding of \$25,000 increments in the school's first three years of instruction. (Note that a separate reserve fund does need to be established and be reflected separately in the financial statements and notes to the financial statements.)
- In the case of an education corporation operating multiple charter schools, the Education Corporation must follow the dissolution reserve fund provisions in its charter agreement and reserve the appropriate amount of funds accordingly.

The Education Corporation understands that the above provisions largely apply to an education corporation operating one charter school, and that the above provisions must be modified in the case where the Education Corporation operates multiple charter schools and some, but not all, of those schools close.