



REQUEST FOR REPLICATION PROPOSALS

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: DECEMBER 12, 2018

2019

2019 REQUEST FOR PROPOSALS TIMELINE

At the time of the release of the 2019 Request for Proposals (“RFP”), the SUNY Charter Schools Institute (the "Institute") intends to hold one review cycle to consider proposals to open new charter schools inside of New York City and a separate round to consider proposals to open schools outside of New York City. SUNY, in its sole discretion, reserves the right to modify the 2019 RFP schedule and to hold additional round(s) later in the year.

ACTION	DATE	
Draft RFP Public Comment Period	November 16, 2018 – December 5, 2019	
Release of Final 2019 RFP	December 12, 2018	
	APPLICATIONS INSIDE NEW YORK CITY	APPLICATIONS OUTSIDE NEW YORK CITY
Intent to Apply Form Due	10 A.M., December 21, 2018	10 A.M., January 28, 2019
Final Proposals and Business Plans (if applicable) Due	10 A.M., January 9, 2019	10 A.M., February 25, 2019
Proposal Review	January 2019	March – April 2019
Applicant Notification	February 2019	April 2019
Anticipated Charter Schools Committee Meeting	March 2019	June 2019
Charter Transmittal Preparation	March - April 2019	June – July 2019
Proposed Charter Transmittal to New York State Board of Regents	April - May 2019	July – August 2019
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 2020	Fall 2020

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DEFINITION OF TERMS

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 Kindergarten – 4th grade site, 5th – 8th grade site, or a 9th – 12th grade site. Without additional authority, an education corporation may not educate students of the same grade level in more than one site.

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.

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.

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 2017-18 exams 89% of SUNY authorized charter schools outperformed their district school peers in mathematics and 87% 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 200 charter schools across New York State for approximately 100,000 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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- 177 in and around New York City - Manhattan (31); Brooklyn (64); Bronx (55); Queens (14); Staten Island (1); Roosevelt (1); Hempstead (2); and, 9 to be located in the Bronx, Brooklyn, or Queens
- 6 in the Capital District - Albany (5); Troy (1); and,
- 17 in Western/Central New York – Elmira (1); Homer (1); Ithaca (1); Rochester (6); Buffalo (8).

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 Diploma Programmes of the International Baccalaureate Programme; single gender schools; several schools that offer intensive foreign language instruction; 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

All applicants must carefully read each of the sections below for critical information regarding the 2019 RFP and are strongly encouraged to contact the Institute with any questions or concerns about this information prior to completing a proposal.

The Institute is pleased to present the 2019 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.

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 108 charters statewide including a remaining seven charters to New York City applicants.

APPLICANT ELIGIBILITY

Due to the limited number of charters available to education corporations inside New York City at the time of the RFP's publication, replicating applicants with one or more unopened SUNY authorized charter schools who have requested to delay, or are delaying, the opening of a school or schools from the date indicated at the time of proposal submission are not eligible to apply for a new charter(s) under the 2019 RFP. Additionally, education corporations inside New York City may not apply for more than two charters under the 2019 RFP. There are no such restrictions on applicants seeking to operate outside of New York City.

Replicating education corporations with unopened SUNY authorized charter schools that the education corporation intends to open consistent with the opening date indicated at the time of proposal submission may apply for a new charter(s) under the 2019 RFP.

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NOTE: Applicants with eligibility questions are encouraged to contact the Institute directly.

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. 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 2019 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 July 2015 may seek to add additional new schools using the Replication RFP Requests contained herein. All other applicants must use the Standard RFP Requests in order to provide updated materials (available at www.newyorkcharters.org/request-for-proposals/). See the Application Requirements Section for further information.

NOTE: All applicants should 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 applicants 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.

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- 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 Committee meeting to approve applications (dates and materials to be posted at: www.suny.edu/about/leadership/board-of-trustees/meetings/meetingNotices.cfm) in order for comments to be included in the summary of public comments.

SUNY'S REVIEW PROCESS

INTENT TO APPLY FORM REVIEW

The determination of the adequacy of the Intent to Apply form, or the eligibility of an applicant, is at the sole discretion of the Institute. There is no appeal of a negative determination. Nothing shall prohibit applicants who submit an unsuccessful Intent to Apply form 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.
4. At the Institute's discretion, an external panel of education expert(s) may review proposals and, where applicable, accompanying business plans.

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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 the proposed school's founding group, which includes the applicant(s), proposed or actual education corporation trustees, and representatives of any proposed or actual CMO and/or other partner organization.
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 may 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 at least four members including a Chair, Vice Chair, Secretary, and Treasurer to be identified, undergo background checks, and be present at an interview to constitute a functioning board if the charter is approved.

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

A NOTE TO APPLICANTS AND PROPOSED TRUSTEES: FINGERPRINTING

The Institute requires that the lead applicant(s) as well as the proposed or actual Chair, Vice Chair, Secretary, and Treasurer of the board of trustees be fingerprinted after submitting an application. This applies even if these individuals have been fingerprinted for prior charter applications. Institute staff will send instructions on completing the fingerprint process to the individual applicant(s) and proposed/actual board officers. Failure to complete fingerprinting in a timely manner may delay the application review 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;
- Proposals must comport fully with formatting and submission conventions described within the RFP; and,
- Proposals must be accompanied by complete Business Plans where required.

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

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- 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.
- 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 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

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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.

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PREFERENCE SCORING

Consistent with the Act (Education Law § 2852(9-a)(c)), SUNY's 2019 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 that the Institute will recommend to the SUNY Trustees for approval.

The Institute bases preference scoring on nine criteria for which the proposal can earn credit. 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 CATEGORY	PRIMARY INDICATORS	POSSIBLE POINTS
1. Community Need and Outreach	The proposal presents strong and credible evidence of a compelling need for the school in the specific community (or NYC CSD) where the school would locate.	3
	The proposed school would be located in a community with limited choice of high performing public schools (in NYC, this refers to specific CSD).	
	The proposal includes evidence of effective efforts to inform the intended community about the proposed charter school.	
	The proposal describes explicit efforts and concrete evidence of soliciting and receiving feedback from the community where the school intends to locate as to how the school will address the educational and programmatic needs of students.	
	The proposal explains how the applicant incorporated feedback into the proposal.	

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2. District Relations & Partnerships	<p>The proposal includes a detailed plan with specific strategies for establishing an ongoing relationship with the district.²</p>	<p>3</p>
	<p>The proposal includes support from the school district (in New York City this could include the Community Education Council “CEC”)) where the school seeks to locate.³</p>	
	<p>The proposal includes detailed plans with ongoing resources and supports for sharing best educational practices and innovations with low performing public schools in the area.⁴</p>	
3. Curriculum & Instruction	<p>The school will acquire, adopt and use local, state and/or national instructional improvement systems (curriculum selection and revision, formative and summative assessments, student data analysis linked directly to well-resourced systems to support teacher instructional practices, etc.) to provide teachers, principals, and administrators with the information and resources they need to inform and improve their instructional practices, decision-making, overall effectiveness,⁵ and raise student achievement with the students they seek to serve.</p>	<p>3</p>
	<p>The school will increase student achievement and decrease student achievement gaps in reading/language arts and mathematics.⁶</p>	

² N.Y. Education Law § 2852(9-a)(c)(viii).

³ N.Y. Education Law § 2852(9-a)(c)(viii).

⁴ N.Y. Education Law § 2852(9-a)(c)(vi).

⁵ N.Y. Education Law § 2852(9-a)(c)(v).

⁶ N.Y. Education Law § 2852(9-a)(c)(i).

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4. High Quality Assessment System	<p>The school has a well-developed, high quality assessment system designed to measure students’ knowledge, understanding of and ability to apply critical concepts through the use of a variety of item types and formats.⁷ The system includes specific actionable plans for using results to support teachers’ work in improving student achievement.</p>	<p>3</p>
5. Special Populations	<p>The school has specific staffing structures, strategies, on-going supports and oversight to accelerate the achievement of at-risk students including students with disabilities, ELLs, and students struggling academically.</p>	<p>3</p>
6. School Leadership	<p>The school has a coherent professional development program with explicit plans to evaluate its effectiveness.</p>	<p>3</p>
7. Success for Every Student	<p>The school has a coherent, detailed and integrated plan for creating a sustained environment that promotes the positive growth and development of students and the adults that support them.</p>	<p>3</p>
8. Organizational Capacity & Fiscal Soundness	<p>The school has the capacity to sustain the implementation of quality management, leadership and governance systems necessary to overcome initial start-up problems and the ability to establish a thriving, academically, organizationally and financially viable new charter school.⁸</p>	<p>3</p>
	<p>The proposed/current 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).</p>	<p>3</p>
	<p>The proposal contains a reasonable, feasible and achievable financial plan and a budget to sustain the creation of, or addition of, a new school.</p>	<p>3</p>

⁷ N.Y. Education Law § 2852(9-a)(c)(iv).

⁸ N.Y. Education Law § 2852(9-a)(c)(vii).

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9. Increase Quality Options	The school will open with a strong elementary program and grow to serve students K-8 or K-12 in order to maximize the potential for success by setting a strong early foundation for students and creating pathways to grow seats in upper grades.	6
	The school will open serving middle school grades and presents a detailed and viable plan for a successful transition to high school for those students. ⁹	3
	The school will open serving high school grades with a strong plan for increasing high school graduation rates, a focus on serving specific high school student populations including, but not limited to, students at risk of not obtaining a high school diploma, re-enrolled high school drop outs, and students with academic skills below grade level. ¹⁰	3
	The school is necessary to expand or complete an existing K-12 pathway for a charter school/ not for profit education corporation currently operating in New York	3

⁹ N.Y. Education Law § 2852(9-a)(c)(iii).

¹⁰ N.Y. Education Law § 2852(9-a)(c)(ii).

APPLICATION REQUIREMENTS

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

- **Intent to Apply Form:** All applicants must submit an Intent to Apply Form that includes information about the proposed school, the founding team, and the board. Intent to Apply forms are available at www.newyorkcharters.org/request-for-proposals.
- **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.
- **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 (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.

INTENT TO APPLY FORM

All applicants wishing to submit a proposal to the Institute must submit an Intent to Apply form, which includes information about the applicant, board, and proposed school. Intent to apply forms are available at www.newyorkcharters.org/request-for-proposals/.

STANDARD VS. REPLICATION PROPOSAL

To accommodate different types of applicants, the 2019 RFP includes two versions: 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 (available at www.newyorkcharters.org/request-for-proposals/).

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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 application for the original education corporation after July 2015? If yes:
3. Would the proposed school replicate all or a vast majority of the academic program components in use at the existing school?

Note: Applicants are strongly encouraged to contact the Institute with questions about whether they may submit a replication application.

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, applicants may respond to some Requests by incorporating by reference the applicable documents on file at the Institute. Documents to be incorporated by reference must meet the following criteria:
 - Documents to be incorporated by reference must have been submitted to the Institute as part of an original, merger, renewal, or revision application after July 2015. **Any documents submitted to the Institute prior to July 2015 may not be incorporated by reference.**
 - Applicants may not incorporate any documents by reference that in turn contain incorporations by reference.
 - Applicants may not incorporate documents by reference from prior applications that were not approved.
- 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. Note that this assumes that the proposed school model is not materially different from the model used in one or more schools an existing education corporation operates.
- 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

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regarding fiscal and human capital capacity becomes more rigorous when considering the award of multiple charters to one education corporation or founding team.

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. For additional information about Standard proposals, please visit www.newyorkcharters.org/request-for-proposals/.

BUSINESS PLAN REQUIREMENT

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 or organizational structure must submit a business plan. **Applicants are strongly encouraged to contact the Institute to determine if they must submit a business plan.** Business plan resources are available at www.newyorkcharters.org/request-for-proposals/.

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).

RESOURCES

The Institute's Creation Resources webpage includes links to multiple documents to provide guidance to applicants (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.

FORMATTING AND SUBMITTING PROPOSALS AND BUSINESS PLANS

INTENT TO APPLY FORM SUBMISSION

Please contact the Institute at least one week prior to the Intent to Apply form deadline to request information about how to submit a form. Include the lead applicant's full name, email address, and the proposed school name in this request. Forms are available at www.newyorkcharters.org/request-for-proposals/.

Applicants must upload Intent to Apply forms to Epicenter (see below for additional information). Note that this is the only system that may be used to submit forms. Once all of the files are uploaded, please send an email to charters@suny.edu to inform the Institute that the Intent to Apply form submission is complete.

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 page i). 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 Epicenter, which is the online system the Institute uses for compliance and document management. The Institute will provide each applicant with Epicenter log-in credentials for this purpose. An instructional guide that explains how to submit documents in Epicenter is available on the [RFP webpage](#). Note that this is the only system that may be used to submit proposals. Once all of the files are uploaded to Epicenter, please email charters@suny.edu to inform the Institute that the proposal submission is complete.

HOW TO ADDRESS REQUESTS THAT DO NOT REQUIRE A DIRECT RESPONSE

Applicants should submit a response to every request, including those that are not applicable. If the request does not apply, applicants should submit an individual file for the request that states, "Request is not applicable."

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

DOCUMENT FORMATTING

- Applicants must use the electronic file conventions included in both the RFP and the business plan Requirements.

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- 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.

NOTE: For requests containing templates provided on the Institute’s website, such as the budget template, applicants must use the most current version available on the website as of the RFP year. The Institute will not accept submissions that use outdated templates.

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.
- The Institute will assign applicants all relevant requests in Epicenter. Files must be organized as follows:
 - Submit only one merged file for each request in Epicenter.
 - 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®.
 - 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.

NOTE: The Institute will not accept edited or updated application materials after the application deadline. Applicants are encouraged to ensure that all materials reflect accurate information at the time of submission.

INTRODUCTION

PROPOSAL ELECTRONIC FILE CONVENTIONS

REQUEST	REQUIRED FILE NAME	FILE TYPE
Transmittal and Summary	R-00a - Transmittal and Summary Form	Adobe Acrobat®
Statistical Overview	R-00b - Statistical Overview	MS Excel®
Replication Checklist	R-00c - Replication Checklist	MS Excel®
Request 1	R-01ac - Community Need and Proposed School Impact	MS Word®
Request 2	R-02ab - Addressing Need	MS Word®
Request 3	R-03ad - Proposal History	MS Word®
	R-03e - Letters of Justification	MS Word® or Adobe Acrobat®
	R-03f - Founding Team Resumes	MS Word® or Adobe Acrobat®
Request 4	R-04abc – Community Outreach, Support, and Demand	MS Word®
	R-04d – Evidence of Outreach	MS Word® or Adobe Acrobat®
	R-04e - Evidence of Support	MS Word® or Adobe Acrobat®
	R-04f - Evidence of Demand	MS Word® or Adobe Acrobat®
Request 5	R-05ac - Enrollment	MS Word®
	R-5d - Admissions Policy	MS Word®
Request 6	R-06af - Curriculum and Instruction	MS Word®
	R-06g - Accountability Plan	MS Word®
Request 7	R-07ac - Calendar and Schedules	MS Word® or MS Excel®
Request 8	R-08ad - Specific Populations	MS Word®
Request 9	R-09ad - Instructional Leadership	MS Word®

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REQUEST	REQUIRED FILE NAME	FILE TYPE
Request 10	R-10a - Culture and Discipline	MS Word®
	R-10b - Discipline Policy	MS Word®
	R-10c - Special Education Policy	MS Word®
	R-10d - Dress Code	MS Word®
Request 11	R-11ab - School Management and Leadership	MS Word®
Request 12	R-12ac - Personnel	MS Word®
	R-12d - Personnel Policies	MS Word®
Request 13	R-13a - Partner Organizations	MS Word®
	R-13b - Partner Commitment	MS Word® or Adobe Acrobat®
Request 14	R-14ad - Governance	MS Word®
	R-14e - By-Laws	MS Word®
	R-14f - Code of Ethics	MS Word®
	R-14g - Complaint Policy	MS Word®
	R-14h - Board Member Resumes	MS Word® or Adobe Acrobat®
	R-14i - Board Member RFI Forms	Adobe Acrobat®
Request 15	R-15 - District Relations	MS Word®
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®

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REQUEST	REQUIRED FILE NAME	FILE TYPE
	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®
	R-23a - Supplemental Narrative	MS Word®
Request 23	R-23b - Supplemental Attachments	MS Word® or Adobe Acrobat®
Request 24	R-24 - Full Merged Application	Adobe Acrobat®
Business Plan (If Applicable)	Refer to the Business Plan Requirements for file naming conventions for business plan attachments.	

SUNY

Request for Proposals (2019)

REPLICATION REQUESTS

Application questions (requests) for all those seeking to replicate an existing SUNY authorized charter school that was chartered after July 2015.¹¹

¹¹ Documents to be incorporated by reference must have been submitted to the Institute as part of original, merger, renewal, or revision application. Any documents submitted to the Institute prior to July 2015 may not be incorporated by reference.

REPLICATION REQUESTS

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 but cannot accept typed 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/. While an application may have one or two lead applicants, each application must have as additional co-applicants the actual or proposed board chair, vice chair, treasurer and corporate secretary. (Other corresponding titles may be used.) If an existing or proposed education corporation does not have such an officer structure, then all five members of the board's executive committee must be co-applicants. The lead applicant for an existing charter school education corporation typically is the board chair; no additional lead applicant is required. All lead applicants and co-applicants will need to undergo a fingerprint supported criminal history check.

NOTE: Please ensure the enrollment provided on the Transmittal and Summary Form matches the enrollment provided in Response 5 – Enrollment.

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.**

STATISTICAL OVERVIEW FORM

Applicants associated with one or more currently operating education corporations should complete the Statistical Overview – Existing Schools chart available at:

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

What to Submit:

Submit the completed electronic copy of the Statistical Overview Form as a Microsoft Excel® file named: **R-00b - Statistical Overview Form.**

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 2017 RFP, the corresponding information to be supplied should read, “Attachment ##(– Students with Disabilities, January 2017 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 2019 RFP Request. If SUNY approved a proposal that did not include information required in the 2019 RFP, then supplement the response incorporated by reference, or submit a new, full response.
- 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-00c - 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 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;

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 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. The response should also address how the specific key design elements address the specific needs identified in Request 1. If the key design elements for the proposed school differ from those submitted to the Institute as part of the most recent application, or application for renewal, of an education corporation or one of its schools, please describe why any element changed.

NOTE: This response should not exceed five pages in length, and the key design elements discussed should match those included in the Transmittal and Summary Form.

REPLICATION REQUESTS

What to Submit:

- Submit the narrative response to Request 2(a-b) as a Microsoft Word® file named:
R-02ab - Addressing Need.
-

3. Proposal History

a. Applicant Information

Indicate whether the applicant is a parent, teacher, administrator, and/or community resident as required by the Act, or, if a board chair, mark “Education Corp./Charter School.” Provide a brief biographical description for the applicant(s) including relevant background experience and education background.

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 (approximately one paragraph including education background) for all founding team members. Founding team members include individuals who contributed to the development of the proposal and/or would play a role in the development of the proposed school.

Do not include proposed board members on this list (applicants will submit board member information as part of Request 14 – Governance).

d. 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,

REPLICATION REQUESTS

- A detailed 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 or is currently applying for a charter from a charter entity other than the SUNY Trustees_(e.g., the Board of Regents). This includes applications to charter entities in other states. If yes, provide:

- The name of the charter entity;
- The state where the application was submitted (if not New York);
- 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 application was granted, but the charter school is no longer in existence, please provide an explanation; and,
- Describe any changes made to the application following the withdrawal or denial of the application evident in this proposal.

e. 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.

f. Founding Team Resumes

Submit an updated resume for all founding team members (not including board members).

REPLICATION REQUESTS

What to Submit:

- Submit the narrative response to Request 3(a-e) as a Microsoft Word® file named:
R-03ad - Proposal History.
 - Attach any letters of justification as Microsoft Word® or Adobe® Acrobat files named:
R-03e - Letters of Justification.
 - Attach founding team resumes as Microsoft Word® or Adobe® Acrobat files named:
R-03f - Founding Team Resumes.
-

4. Community Outreach, Support, and Demand

a. Description and Analysis of Community Outreach Efforts

Provide a narrative description of the methods used to inform stakeholders in the intended community about the proposed charter school including:

- 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.

In addition to the narrative description, this response may also include a table, bulleted list, etc. with information about 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.

b. Description and Analysis of Community Support

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

REPLICATION REQUESTS

c. Description and Analysis of Student Demand

Provide a narrative description of student demand including an analysis of evidence indicating that families with age-appropriate students would consider enrolling them in the school. Explain how this evidence supports the school's ability to meet its proposed enrollment. If using existing waitlists as evidence of demand, provide an estimate based on experience of how many waitlist entries it takes to fill a seat.

d. Evidence of Community Outreach

Submit documents that provide evidence of community outreach (e.g., flyers, websites, social media pages, meeting announcements, sign-in sheets, survey results, etc.).

e. Evidence of Community Support

Submit documents that provide evidence of community support (e.g., letters of support from community stakeholders, emails with evidence of support, petitions, survey results, etc.).

f. Evidence of Student Demand

Submit documents that provide evidence of 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, etc.).

NOTE: If evidence of community outreach, support, and/or demand overlaps, it is not necessary to duplicate documents. Describe how any specific evidence of one demonstrates evidence of another in the applicable narrative description.

What to Submit:

- Submit the response to Requests 4(a-b) as a Microsoft Word® file named: **R-04abc - Community Outreach, Support, and Demand.**
 - Attach evidence of community outreach as a Microsoft Word® or Adobe® Acrobat file named: **R-04d - Evidence of Outreach.**
 - Attach evidence of community support as a Microsoft Word® or Adobe® Acrobat file named: **R-04e - Evidence of Support.**
 - Attach evidence of demand as a Microsoft Word® or Adobe® Acrobat file named: **R-04f - Evidence of Demand.**
-

REPLICATION REQUESTS

5. Enrollment

a. Enrollment Plan

Provide a narrative description of 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. Target Population Enrollment

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.
- 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;

REPLICATION REQUESTS

- 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. CSP grant funding in New York is currently in transition. The New York State Education Department (“NYSED”) is expected to provide information about CSP grant changes in the future. See Appendix A and the *Guidance Handbook* for further information; and,
- Any replicator that is not currently meeting targets at any of its schools must provide an explanation as to why the targets are not being met, efforts made to meet the targets, and what new strategies will be employed to meet the targets.

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

c. Student Enrollment Table

Complete the student enrollment table provided in the budget template and include a copy of it here.

d. 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: www.newyorkcharters.org/applications-admissions-materials/.

What to Submit:

- Submit the response to Request 5(a-d) as a Microsoft Word® file named: **R-05ac - Enrollment.**
 - Attach the school’s admissions policy as a Microsoft Word® file named: **R-05d - Admissions Policy.**
-

ACADEMIC SUCCESS

6. Curriculum and Instructional Design

a. Curriculum Selection Process

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, key design elements, and unique themes;
- 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 specifically address 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;

REPLICATION REQUESTS

- Explain how school leaders and teachers will ensure student work products resulting from instruction indicate student preparation for success on state assessments;
- 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; 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 information.

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 6(a); and,
- An explanation of how the curriculum aligns with the school's educational philosophy and furthers its specific mission, key design elements, and unique themes.

d. Course or Subject Overview

Provide course descriptions for every subject and grade level the school will serve within the initial five years of operation, accounting for both core and non-core subject areas including all courses identified in **Request 7 – Calendar and Schedules**. This should include, at minimum:

- A general description of the specific 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,

REPLICATION REQUESTS

- 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.

REPLICATION REQUESTS

g. Draft Accountability Plan

Complete the Accountability Plan template available on the Institute's website at: 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 response to Request 6(a-f) as a Microsoft Word® file named: **R-06af - Curriculum and Instruction.**
- Attach a draft accountability plan as a Microsoft Word® file named: **R-06g - Accountability Plan.**

7. 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.

REPLICATION REQUESTS

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 after school electives; and, remediation or other non-core academic components of the proposed school design;
- A table that clearly identifies 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 7 as a Microsoft Word® file named: **R-07ac - Calendar and Schedules.**

8. 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

REPLICATION REQUESTS

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.;
- 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;

REPLICATION REQUESTS

- 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.

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,

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- 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 8(a-d) as a Microsoft Word® file named: **R-08ad - Specific Populations**.

9. 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 ongoing 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;

REPLICATION REQUESTS

- 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,
- 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 9(a-d) as a Microsoft Word® file named:

R-09ad - Instructional Leadership.

10. School Culture and Discipline

a. School Culture

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;
- Any specific programs (e.g., Responsive Classroom, restorative justice, etc.) the school intends to implement and the rationale for their selection; and,
- How the school will maintain a safe and orderly environment.

b. Discipline Policy

Provide the school's discipline policy for general education students.

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c. **Special Education Discipline Policy**

Provide the school's discipline policy for special education students with assurances that it is in conformity with the federal Individuals with Disabilities Education Act ("IDEA") and regulations.

d. **Dress Code Policy**

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.

What to Submit:

- Submit the response to Request 10(a) as Microsoft Word® file named: **R-10a - Culture and Discipline.**
 - Attach the school's Discipline Policies for general education students as a Microsoft Word® file named: **R-010b - Discipline Policy.**
 - Attach the school's Discipline Policies for special education students as a Microsoft Word® file named: **R-10c - Special Education Policy.**
 - Attach the school's Dress Code as a Microsoft Word® file named: **R-10d - Dress Code.**
-

ORGANIZATIONAL VIABILITY

11. 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 11 as a Microsoft Word® or Adobe Acrobat® file named:

R-11ab - School Management and Leadership.

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

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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

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.

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.

d. Personnel Policies

Submit a copy of the proposed education corporation's personnel policies.

What to Submit:

- Submit the response to Request 12(a-c) as a Microsoft Word® file named: **R-12ac - Personnel**.
 - Attach Personnel Policies as a Microsoft Word® file named: **R-12d - Personnel Policies**.
-

13. Partner Organization(s)

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;
- A description of the nature and purpose of the relationship;
- Any contract or monetary arrangements;
- Names of proposed school board members affiliated with the organization(s); and,
- Evidence of the organization's ability to business in New York.

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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.

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 provided to the charter school at or below fair market value.

What to Submit:

- Submit the response to Request 13(a) as Microsoft Word® file named:
R-13a - Partner Organizations
- Attach the letter(s) of commitment from the partner organization(s) as a Microsoft Word® or Adobe® Acrobat file named: **R-13b - Partner Commitment**

14. Governance

a. Board Members

Provide a brief narrative describing the methods used to recruit and select board members. Use the Proposed Board Members table (see below) to identify a minimum of five 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.

- Under the heading "Position on the Board," please note any leadership and/or affiliations that board members hold. For example: "Board Chair," "CMO

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Representative,” “Parent Representative,” etc. Four board officers must be listed in the chart even if the officers are not trustees: chair; vice chair; treasurer; and, secretary.

- Under the heading “Committee Affiliations (if any),” please note any committees on which a proposed trustee would serve (e.g., “Academic Committee,” “Finance Committee,” etc.).
- 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 first year, that member should appear in the table below as: Name - TBD; Position on the Board – PTO Representative; Committee Affiliations – TBD; 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.

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.					

b. Education Corporation Board Roles and Responsibilities

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

REPLICATION 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.

c. 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.

d. Stakeholder Participation

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

e. By-laws

Provide the education corporation's governing by-laws as amended to date.

f. Code of Ethics

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

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written to apply not only to trustees, but also to officers and employees of the school in conformity with the NY General Municipal Law and the NY Not-For-Profit Corporation Law. Please see the Guidance Handbook for more details.

g. Complaint Policy

Provide a draft of the proposed school's complaint policy. The complaint policy must include procedures for handling formal complaints under the Act including from staff, parents, employees, and contractors. It may also include procedures for handling informal complaints.

h. Board Member Resumes

Submit updated resumes for all board members.

i. Board Members Request for Information Forms

Each proposed board trustee must complete, sign, and attach the Request for Information Prospective Charter School Trustees ("RFI") form available on the Institute's website at:

www.newyorkcharters.org/reporting-requirements/board-members-new/.

What to Submit:

- Submit the response to Request 14(a-e) as Microsoft Word® file named: **R-14ad - Governance.**
- Attach Board By-laws as a as Microsoft Word® file named: **R-14e - Bylaws.**
- Attach Code of Ethics as a as a Microsoft Word® file named: **R-14f - Code of Ethics.**
- Attach Complaint Policy as a as a Microsoft Word® file named: **R-14g - Complaint Policy.**
- Attach board member resumes as Microsoft Word® or Adobe® Acrobat files named: **R-14h - Board Member Resumes.**
- Attach board member RFI forms as Microsoft Word® or Adobe® Acrobat files named: **R-14i - Board Member RFI Forms.**

15. District and School Relations

a. Relationship Strategies

Provide strategies for establishing and maintaining an ongoing relationship with the local school district including any foreseen opportunities or challenges.

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b. School Partnerships

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 15(a-b) as a Microsoft Word® file named:

R-15 - District Relations.

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;

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- How the proposed facility will be able to meet NYSED (outside of NYC), or New York City Department of Buildings School Use (sometimes denoted as use “G”), and state sanitary specifications by commencement of the first year of operation;
- If another organization is assisting the applicants in obtaining facilities, provide information about such organization;
- 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 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 that he cost of bringing the facility into

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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.

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 including provision for a school nurse, medical space and equipment, immunizations records checks, medication to students within applicable law.

What to Submit:

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

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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: **R-20 - 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

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

e. Budget Template

Complete the 2019 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.

REPLICATION REQUESTS

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: 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.

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

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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 Information

a. Supplemental Narrative

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 23(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.**
-

FULL MERGED APPLICATION

24. Applicants must combine all the individual documents included in the proposal (Requests 00 – 23) and submit them as a complete document. Applicants may submit the merged application files as either Microsoft Word® or Adobe® Acrobat file. Please ensure all individual requests are included in the merged document, as missing Requests may delay application review or invalidate the application altogether.

What to Submit:

Submit the response to Request 24 as an Adobe® Acrobat file named:
R-24 - Full Merged Application.

Appendices

Appendix A Charter Schools Program (“CSP”) Grant Priorities Information

Appendix B Assurances

CHARTER SCHOOL APPLICANT ELIGIBILITY INFORMATION FOR FEDERAL CSP GRANTS

Note that the CSP for New York is currently in transition. NYSED may make additional/different information available in the future. The following is provided for informational purposes only.

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 (“ESSA”) 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.

APPENDIX A: CHARTER SCHOOLS PROGRAM GRANT PRIORITIES

STANDARD CSP GRANT AND SUPPLEMENTAL FUNDING

Applicants potentially qualify for two types of CSP grants:

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.

Note: 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:

- **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.

APPENDIX A: CHARTER SCHOOLS PROGRAM GRANT PRIORITIES

- **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 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.
- **Applicants who partner with a persistently low performing district school to phase out that low performing school while establishing the proposed school.**
- **Applicants replicating an existing SUNY authorized charter school that meets the following academic performance criteria at the time of proposed school approval:¹²**
 - **Replicating a Single K-8 School:** The replicating school has achieved a 0.3 effect size¹³ 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,

¹² Note that once the SUNY Trustees approve a replication, the Institute will use the most recent data available to assess an applicant’s eligibility for supplemental funding.

¹³ 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.

APPENDIX A: CHARTER SCHOOLS PROGRAM GRANT PRIORITIES

- The school must have procedures and systems in place to assist students in gaining admittance into college, track the matriculation of students into college,¹⁴ and support students as they transition to college.¹⁵ If the replicating 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:**¹⁶ 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.

¹⁴ 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.

¹⁵ 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.

¹⁶ 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.

APPENDIX B: ASSURANCES

- 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.
- 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.



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