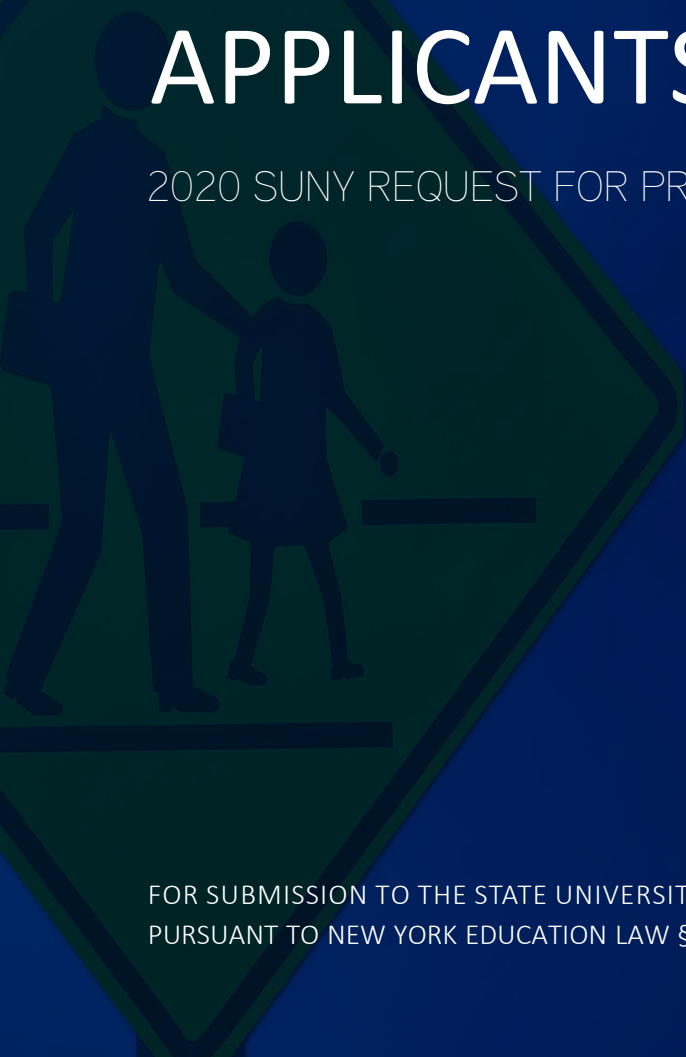




**Charter Schools Institute**  
The State University of New York

# CHARTER SCHOOL BUSINESS PLAN REQUIREMENTS FOR APPLICANTS

2020 SUNY REQUEST FOR PROPOSALS



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)

# Table of Contents

Definition of Terms	2
Introduction	1
Document Checklist	2
SECTION I. Business Plan Respondent Information	4
SECTION II. Mission, Vision and Growth Plan	5
SECTION III. Prior Academic Performance	8
SECTION IV. Market Analysis	9
SECTION V. Organizational Capacity	9
SECTION VI. Network Management	12
SECTION VII. Human Capital	14
SECTION VIII. Financial Plan and Financial Capacity	15
SECTION IX. Organizational Background	18

## 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 – 4<sup>th</sup> grade site, 5<sup>th</sup> – 8<sup>th</sup> grade site, or a 9<sup>th</sup> – 12<sup>th</sup> 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 charter school education corporation is 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.

## INTRODUCTION

---

The SUNY Charter Schools Institute (the "Institute") requires some applicants to submit a business plan in addition to a new school proposal. The business plan supports the Institute's work in evaluating an organization's capacity for growth, whether it is a single school seeking to replicate or a larger network of schools looking to grow.

### Who Should Submit a Business Plan?

Responses to the Request for Proposals ("RFP") address the specifics of operating the proposed school(s). In contrast, business plan responses address network-level capacity and therefore pertain to the education corporation, CMO, or other partner organization(s).

Applicants who meet any of the following criteria must submit a business plan in addition to their proposal:

- Any applicant proposing to partner with an organization that would be responsible for managing and/or providing significant portions of the school's academic program must submit a Business Plan completed by the organization in conjunction with the proposal.
- Any existing SUNY-approved charter school education corporation seeking to add one or more new charter schools to the education corporation must complete and submit a business plan in conjunction with the proposal.

***Note: SUNY approved charter school education corporations seeking to add one or more new charter schools to an existing education corporation that is under contract with a CMO to manage the proposed school must submit two business plans in conjunction with the proposal: one for the CMO and one for the education corporation.***

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

#### Notes on Business Plan Submissions:

##### Fully Merged Submission and Duplicate RFP and Business Plan Requirements

**Fully Merged Submission:** Applicants must combine all the individual documents included in the business plan (Narrative and Sections I-IX) and submit them as a complete, single Adobe Acrobat® file. Please ensure all individual files and sections are included in the merged document, as missing Requests may delay application review or invalidate the application altogether.

**Duplicate RFP and Business Plan Requirements:** Depending on the school oversight model, some business plan requirements may duplicate information requested in the RFP. In such cases, applicants should not repeat the information, but should instead reference the relevant RFP response. For example, an education corporation might provide the following business plan response in lieu of attaching a duplicate copy of its by-laws: "Please refer to RFP Response 14e, By-laws, for the [education corporation name] by-laws."

# DOCUMENT CHECKLIST

---

The Business Plan is divided into nine sections requiring narrative responses and associated attachments. All narrative responses should be combined into a single document. In addition, applicants must combine all documents from the business plan into a single Adobe Acrobat® file and submit this as well (see note above).

Applicants must submit the business plan materials electronically via Epicenter, the Institute's document management system. Additional submission information about Epicenter can be found in the RFP. Please contact the Institute at 518 445 4250 with any questions about submitting a business plan.

## BUSINESS PLAN ATTACHMENT CHECKLIST

REQUIRED FILE NAME	FILE TYPE
<b>Section I. Business Plan Respondent Information (narrative responses only)</b>	
<b>Section II. Mission, Vision, and Growth Plan</b>	
<input type="checkbox"/> BPA S02a - Current and Planned Schools	MS Word® or MS Excel®
<input type="checkbox"/> BPA S02b - School Demographics	MS Word® or MS Excel®
<input type="checkbox"/> BPA S02c - Pathways	MS Word® or MS Excel®
<b>Section III. Prior Academic Performance (narrative responses only)</b>	
<b>Section IV. Market Analysis (narrative responses only)</b>	
<b>Section V. Organizational Capacity</b>	
<input type="checkbox"/> BPA S05a - Leadership-Capacity	MS Word® or Adobe Acrobat®
<input type="checkbox"/> BPA S05b - Staffing	MS Word® or MS Excel®
<input type="checkbox"/> BPA S05c – Board Capacity	MS Word® or Adobe Acrobat®
<input type="checkbox"/> BPA S05d - Disclosures	MS Word® or Adobe Acrobat®
<input type="checkbox"/> BPA S05e - Board Meeting Schedule	MS Word® or Adobe Acrobat®
<input type="checkbox"/> BPA S05f - Bylaws	MS Word® or Adobe Acrobat®
<input type="checkbox"/> BPA S05g - Certificate of Incorporation	MS Word® or Adobe Acrobat®

## BUSINESS PLAN ATTACHMENT CHECKLIST

### Section VI. Network Management

- |                          |                                  |                            |
|--------------------------|----------------------------------|----------------------------|
| <input type="checkbox"/> | BPA S06a - Organizational Charts | MS Word® or Adobe Acrobat® |
| <input type="checkbox"/> | BPA S06b - Management Contract   | MS Word® or Adobe Acrobat® |

### Section VII. Human Capital (narrative responses only)

### Section VIII. Financial Plan and Financial Capacity

- |                          |   |                            |
|--------------------------|---|----------------------------|
| <input type="checkbox"/> | BPA S08a - Five Year Financial Model      | MS Excel®                  |
| <input type="checkbox"/> | BPA S08b - Philanthropic Support          | MS Word® or Adobe Acrobat® |
| <input type="checkbox"/> | BPA S08c - Consolidated Financial Reports | MS Word® or Adobe Acrobat® |
| <input type="checkbox"/> | BPA S08d - Audited Financial Statements   | MS Word® or Adobe Acrobat® |
| <input type="checkbox"/> | BPA S08e - Form 990s                      | MS Word® or Adobe Acrobat® |

### Section IX. Organizational Background

- |                          |   |                            |
|--------------------------|---|----------------------------|
| <input type="checkbox"/> | BPA S09a - NYS Authorization  | MS Word® or Adobe Acrobat® |
| <input type="checkbox"/> | BPA S09b - Not-for-Profit Status                                    | MS Word® or Adobe Acrobat® |
| <input type="checkbox"/> | BPA S09c - Annual Reports   | MS Word® or Adobe Acrobat® |
| <input type="checkbox"/> | BPA S09d - Client List  | MS Word® or Adobe Acrobat® |
| <input type="checkbox"/> | BPA S09e - Litigation   | MS Word® or Adobe Acrobat® |
| <input type="checkbox"/> | <b>Business Plan – [Name of Organization] Fully Merged Document</b> | <b>Adobe Acrobat®</b>      |

## SECTION I. BUSINESS PLAN RESPONDENT INFORMATION

---

For the purposes of this document, "organization" refers to the entity that is the focus of this business plan. An organization submitting a business plan can be an education corporation, CMO, or some other entity.

### **Section I Narrative Response Requests:**

---

Include the following information about the organization completing this business plan in the Business Plan file:

- Organization name;
- Organization role;
- State in which organization is incorporated;
- State(s) in which organization operates;
- Year organization was founded; and/or,
- Primary contact name, address, phone number, and email address.

### **Section I Attachments:**

---

None

## SECTION II. MISSION, VISION AND GROWTH PLAN

---

This section focuses on a high level overview of the organization's strategic vision for expansion, the specific timeline for rolling out new schools, and an assessment of the risks associated with growth.

### Section II Narrative Response Requests:

---

- Describe the organization's mission, strategic vision, and desired impact.
- Describe the organization's five-year growth plan for developing new schools in New York and other states.
- Provide a rationale for the proposed five-year growth plan. For example, how the organization determined the appropriate pace and scope of the proposed growth and why the organization is well-positioned to implement the growth plan.
- Specifically identify the key risks associated with this growth plan and describe the steps the organization is taking to mitigate these risks. Respondents should demonstrate an understanding of the challenges of replication in general and as they relate specifically to their organization's growth plans. The response should detail specific risks and explain how the organization will minimize the impact of each of these risks, and ideally provide contingency plans for them. Examples may include:
  - Inability to secure facilities/facilities financing;
  - Difficulty raising philanthropic funding;
  - Insufficient leadership pipeline/difficulty recruiting school leaders; and,
  - Ambiguous student performance outcomes and the need to curtail expansion if performance drops.
- Discuss lessons learned during past replication efforts. For example, identify particular challenges encountered and how the organization addressed them, as well as how the organization would minimize such challenges for the proposed schools.



# BUSINESS PLAN REQUIREMENTS

## Section II Attachments:

---

### a. Current and Planned Schools (Filename: BPA S02a - Current and Planned Schools)

Provide a table or spreadsheet that includes the following information for each of the next five years (for all existing and projected schools in the organization's portfolio within New York and in other states):

- Currently authorized schools (please include both schools which are currently operating and schools which are authorized, but not yet open):
  - Indicate if the school is directly operated by the organization or if the organization provides services to the school by contract;
  - Grades served and enrollment;
  - Year opened;
  - Location; and,
  - Authorizer.
- Future schools (please include information for the proposed new school(s) and for schools planned for the next five years):
  - Indicate if the proposed school(s) will be directly operated by the organization or if the organization provides services to the school by contract;
  - Grades served and enrollment;
  - Grade levels schools are approved to serve in the next five years;
  - Planned opening year; and,
  - Planned Location.

Separately provide any information on growth in the number of schools beyond five years.

### b. Demographics (Filename: BPA S02b - School Demographics)

Provide a second table or new spreadsheet tab that includes the following information for every operating school in the organization's portfolio:

- Current count, and student enrollment at the beginning and end of the school year for the last three school years, of the following:
  - General student population;
  - Special Education students;
  - English language learners;

## BUSINESS PLAN REQUIREMENTS

- Economically Disadvantaged students (for schools in New York); and,
- For schools outside of New York State also provide:
  - Students eligible to receive Federal Reduced-price Lunch; and,
  - Students eligible to receive Federal Free Lunch (excluding Reduced-price Lunch).
- Last three years of state assessment results in English language arts, mathematics, science and social studies (both aggregated and disaggregated by grade).
- Comparable state assessment results for the district in which each school is located.

### **c. Student Pathways (Filename: BPA S02c - Pathways)**

Provide a detailed chart or drawing that shows how the education corporation's schools AND school siting plans will grow over at least the next five years including specifically feeder patterns and matriculation of students to higher grades. Include enrollment numbers and timelines as appropriate.

## SECTION III. PRIOR ACADEMIC PERFORMANCE

---

This section provides an overview of past academic performance of the organization's schools.

### **Section III Narrative Response Requests:**

---

- Provide an overview of prior performance across all schools ever operated by the organization including closed schools and schools that merged away from the organization.
- Provide a description and analysis of any shortcomings in student achievement experienced by schools that contract for services with, or are otherwise supported by, the organization including any programmatic or operational adjustments that have been made as a result.
- Select one or more of the consistently high-performing schools that the organization operates and discuss the school's academic performance.
- Select one or more of the organization's schools whose performance is relatively low or not satisfactory and discuss the school's academic performance.

### **Section III Attachments:**

---

None

## SECTION IV. MARKET ANALYSIS

---

This section describes the organization's target market selection and an assessment of the market attractiveness.

### **Section IV Narrative Response Requests:**

---

- Describe the organization's target communities in New York State and explain how the organization identifies areas including the specific attributes that make these markets attractive to the organization. Describe the strategic decision making process for selection of target markets.
- If the existing portfolio does not include schools in New York, provide the rationale for entering New York.
- Discuss the organization's competition for students and staff in the target communities, assess student demand, and describe the organization's competitive advantages. Provide an assessment of the organization's ability to meet enrollment projections and identify/hire staff in the targeted communities during the relevant time frames.

### **Section IV Attachments:**

---

None

### SECTION V. ORGANIZATIONAL CAPACITY

---

This section assesses the current and future capacity of the organization's leadership team and governance board to open and operate new schools in accordance with the growth plan.

#### **Section V Narrative Response Requests:**

---

- Identify the organization's leadership team and describe each member's specific roles and responsibilities. Provide evidence and describe experiences that demonstrate that this team has the collective capacity to implement the growth plan and operate academically and operationally successful schools.
- If the organization has a board of directors or trustees (the "board") that is distinct from the school board(s) or committee(s), describe the responsibilities of each governance entity and the relationship between them. Identify, and explain the reasons for any members that they would have in common.
- If the organization is a single charter school education corporation that does not contract with a CMO, explain the role of the education corporation board in managing any centralized functions versus managing the schools.
- Discuss the capacity of the board to govern and ensure that the school's mission is met. Highlight the collective experience and expertise of the organization's board as it relates to the organization's mission, vision and strategic growth plan.
- Provide a narrative overview of the organization's planned staffing over the next five years and evidence of organizational capacity to open and operate high quality schools in accordance with the overall growth plan.
- Outline specific timelines for building or deploying organizational capacity to support the proposed schools.
- Discuss the process the organization takes to determine readiness for replication. Provide any "green lighting" procedures for opening schools including a description of any circumstances or conditions which, if not met, would result in the organization delaying or not opening a school.
- Describe any proposed staffing of centralized services that would serve the schools.

# BUSINESS PLAN REQUIREMENTS

## Section V Attachments:

---

**a. Leadership Capacity (Filename: BPA S05a - Leadership Capacity)**

Provide a resume or detailed biographical statement for each member of the leadership team.

**b. Staffing (Filename: BPA S05b - Staffing)**

Provide a detailed staffing table that shows how the organization will grow over at least the next five years. The table should specify all organization-wide staffing positions that will support school growth for each of the next five years.

**c. Board Capacity (Filename: BPA S05c - Board Capacity)**

Provide a list of members of the above organization's governance board as well as each member's resume or bio.

**d. Disclosures (Filename: BPA S05d - Disclosures)**

Provide disclosure regarding the extent to which any members of the organization's board of trustees or directors also serves on the boards of trustees of, or is affiliated with, schools under management, the CMO, or other related entity, as the case may be.

**e. Board Meeting Schedule (Filename: BPA S05e - Board Meeting Schedule)**

Provide a copy of the board meeting schedule (to the extent not provided previously) for the current year or school year, as applicable.

**f. Bylaws (Filename: BPA S05f - Bylaws)**

Include the organization's by-laws as amended to date.

**g. Certificate of Incorporation (Filename: BPA S05g - Certificate of Incorporation)**

Include the organization's charter or certificate of incorporation together with amendments to date.

## SECTION VI. NETWORK MANAGEMENT

---

This section highlights the role of the organization in relation to the services, facilities and/or goods it will provide to schools, the management and oversight of the schools, the fidelity of the model across schools, and the school-level degrees of flexibility.

### Section VI Narrative Response Requests:

---

- Provide a detailed description of the organization's structure. If there are multiple levels of central offices, explain the role of each office vis-à-vis the schools and how the offices interact.
- Provide a comprehensive description of the role of any national, state-wide, regional and/or local offices or personnel in the operation of the organization and in the provision of services/goods to the proposed New York charter school(s). Identify which services and costs are included in any management contract as well as services and costs billed in addition to the management contract fee. In the case of separately billed services/goods shared across schools, please explain how costs will be distributed among schools.
- If the organization does not partner with a CMO, then describe which centralized services the organization would offer, how costs would be allocated to the various schools, and how the schools will pay for those services.
- Describe the systems and structures that the organization has in place to support the effective operation of its schools including academic support, student data, technology, recruitment and human relations, financial, back office, real estate, and any planned subcontracting or use of key licensed intellectual property.
- Describe the performance metrics used by the organization and its board to monitor the effectiveness of centralized support services. Describe how the organization will know whether or not it is successfully delivering these services.
- Provide a summary of the organization-level and school-level decision making authority and responsibility with respect to key educational and operational functions including, but not limited to, the following:
  - Selection of the school leader;
  - Performance goals;
  - Curriculum;
  - Professional development;
  - Data management;
  - Promotion and graduation criteria;

## BUSINESS PLAN REQUIREMENTS

- School culture;
  - Student recruitment;
  - School staff recruitment and hiring;
  - Budgeting and resource allocation;
  - Human relations services;
  - Fundraising;
  - Information technology;
  - Facilities management; and,
  - Community relations.
- Describe the key non-negotiable aspects of the proposed school model(s) including details about the critical elements that are constant across the organization's schools and those that may vary.
  - Describe the organization's approach to performance management across the network and with individual schools including the systems used to measure and evaluate both academic and non-academic performance of each school and of the network as a whole. Explain how the organization addresses underperformance and describe the corrective action plan procedures.
  - Describe the conditions that would cause the organization to close, or, if applicable, urge the education corporation to close, a consistently low performing school. Be specific about threshold metrics the organization would use to inform its decision.

### Section VI Attachments:

---

#### **a. Organizational Charts (Filename: BPA S06a - Organizational Charts)**

Provide organizational charts for the following timeframes:

- First year of proposed charter term; and
- Final year of proposed charter term.

#### **b. Management Contract (Filename: BPA S06b - Management Contract)**

If there would be a contract or a shared services agreement, provide the most recent executed agreement as well as any new proposed agreement. If the parties are still negotiating some provisions, provide a draft agreement.



## SECTION VII. HUMAN CAPITAL

---

This section seeks to understand how the organization intends to identify, recruit, develop and retain the organizational and school level staff necessary to realize the planned growth.

### Section VII Narrative Response Requests:

---

- Discuss the specific measures and timelines the organization will employ to identify and develop organizational and school leaders. For example, explain:
  - How the organization plans to identify leadership internally and externally;
  - Who will be responsible for hiring leaders;
  - Formal and informal systems that will prepare leaders for their responsibilities;
  - The organization's philosophy regarding internal promotions;
  - The timing for identifying leaders in relation to the launch of a new school; and,
  - Internal or external leadership training programs.
- Identify the number of staff the organization plans to hire each year and who is responsible for recruitment and hiring at the organizational and school levels. Address how the organization will ensure that there are sufficient highly qualified candidates for all positions.
- Provide a clear explanation of the evaluation process for key personnel. Describe who, or which entity, is responsible for oversight and evaluation of key personnel and specifically address the roles of the organization in this endeavor. Identify the metrics used to evaluate key personnel and organizational leadership, and the frequency of the evaluations. Address the specific actions that the organization will take when school leaders, key personnel, or board members, as applicable, are performing unsatisfactorily.
- Explain the proposed compensation strategy and salary ranges for organization and school level staff. Discuss how the compensation structure enables the organization to attract and retain high quality staff and describe any incentive structures such as bonuses or merit pay. Compare the proposed salary ranges to those in other organizations, charter schools, and local districts, as applicable.

### Section VII Attachments:

---

None

### SECTION VIII. FINANCIAL PLAN AND FINANCIAL CAPACITY

---

This section requests information necessary to evaluate the organization's financial health, and the viability of the proposed growth plan.

#### **Narrative Response Requests:**

---

- Provide detailed budget narratives, as well as a high level summary of the budgets and descriptions of all major budget assumptions. The narrative should address contingency plans in the event that the revenues are lower or expenses are higher than anticipated in the financial model.
- Provide a five-year development plan that addresses the annual and cumulative fundraising need at the network and school levels including a description of the staff divested to development. The plan should include a history of the organization's fundraising outcomes and identify funds that have already been committed toward fundraising goals. If funds are raised at the partner organization level, describe the methodology to be used in allocating funds to schools, especially in relation to the proposed New York schools. If the budget does not include any fundraising activity, please respond N/A to this request.
- Describe the schools', education corporation's and organization's distinct responsibilities in the financial management and oversight of the proposed school(s) (as applicable) including, but not limited to, their respective roles in overseeing or implementing internal controls and in making financial management decisions including budget development. Detail the process and frequency by which key financial information is communicated to and reviewed by the various organizations and their governance entities.
- Describe the organization's strategy for securing, financing, and maintaining school facilities in the short and long term including, but not limited to, any existing facilities that need to be financed or re-financed in the next five years.
- Identify the entity responsible for acquiring and maintaining school facilities and describe that entity's relationship to both the school and the organization. If costs related to the facility will be borne by the proposed school's education corporation, the response should identify the level of capital support the organization (or related party) is willing to provide to the education corporation.

# BUSINESS PLAN REQUIREMENTS

## Section VIII Attachments:

---

### a. **Five-year Financial Model (Filename: BPA S08a - Five-year Financial Model)**

Provide a five-year financial model that details the financial projections to support the organization's growth plan. The applicant must include a completed five year budget template as referenced in the RFP, a self-created budget template can be provided as supplemental documentation. The model should include the following:

- A consolidated budget summary for the organization, including any affiliated entities (including real estate and/or equipment leasing entities), and the education corporations or school(s) in its portfolio (including those proposed through this process).
- A central office services budget from the organization specifically outlining any national or regional organizations that will support the proposed school(s). This budget should detail the core function and personnel costs associated with network (non-school) personnel and services and not reflect individual school personnel and costs.
- Budgets for existing schools (note: these can be consolidated, except that any budgets for New York education corporations not authorized by SUNY should be included separately and in addition to the consolidated schools budget). Applicants can prepare school level budgets, using the RFP budget template or create new school level budgets as part of the integrated budget model. The organization should use revenue growth assumptions that are conservative and expense growth assumptions that are realistic.
- The school level and central office budgets should detail all major assumptions including, but not limited to: projected enrollment; revenues from state sources; revenues from federal funding; revenues from local and other sources; other revenues; committed philanthropy; non-committed philanthropy; student fees; personnel costs (administrative, instructional, non-instructional ); annual salary increases; benefits and payroll tax expenses; contracted services; school operation costs; facility operations and maintenance; detailed breakout of all non-personnel expenses and associated assumptions; management fees; and, reserve accounts and capitalized expenditures including dissolution reserve funds.

### b. **Philanthropic Support (Filename: BPA S08b - Philanthropic Support)**

- Provide a detailed list of donor organizations, along with the dollar amount contributed, for the past three years.
- If philanthropic funding is included in the business plan budget, then provide commitment letters from the top five contributors. Note, letters should include a

## BUSINESS PLAN REQUIREMENTS

statement that the contributor plans to continue the relationship with the organization and note any restrictions on the funds, but does not need to cite actual funding amounts.

**c. Consolidated Financial Reports (Filename: BPA S08c - Consolidated Financial Reports)**

Provide copies of, or other access to, the three most recent annual consolidated audited financial reports including management or advisory letters and related notes. Provide the same information for related entities, subsidiaries, real estate or other service entities that would provide goods or services to the charter school or the organization.

**d. Audited Financial Statements (Filename: BPA S08d - Audited Financial Statements)**

Provide copies of, or other access to, all audited financial statements and all management or advisory letters issued during the previous three years by any independent auditors who prepared the audited financial statements for any non-SUNY authorized charter school education corporations operating a school presently managed by the organization, be sure to include any out of state charter school audited financial statements.

**e. Forms 990 (Filename: BPA S08e - Forms 990)**

Additionally, provide copies of, or other access to, all IRS Forms 990 filed during the previous three years by the organization including any non-SUNY authorized charter school education corporations operating a school presently managed by the organization.

## SECTION IX. ORGANIZATIONAL BACKGROUND

---

This section provides an overview of the organization's background.

### Section IX Narrative Response Requests:

---

- Provide a brief overview of the organization's history.
- List any and all charter revocations or surrenders, bankruptcies, school closures, non-renewals, or shortened or conditional renewals for any of the schools operated by the organization and provide explanations.
- Explain any performance deficits or compliance violations that have led to formal authorizer intervention with any school operated by the organization. Provide details as to how such deficiencies were resolved.

### Section IX Attachments:

---

**a. Authorization to do Business in New York State (Filename: BPA S09a - NYS Authorization)**

Provide evidence the organization is authorized to do business in New York State (New York corporate formation documents from the Secretary of State or copy of approved application for authority to do business in New York from the Secretary) or the Board of Regents.

**b. Not-for-profit Status (Filename: BPA S09b - Not-for-profit Status)**

Provide evidence of the organization's not-for-profit state and federal status including tax-exempt status under section 501(c)(3) or other provision of the Internal Revenue Code, if applicable.

**c. Annual Reports (Filename: BPA S09c - Annual Reports)**

Provide the most recent annual reports, if applicable, of the organization, and any related entities, and any non-SUNY authorized charter schools it operates.

## BUSINESS PLAN REQUIREMENTS

**d. Client List (Filename: BPA S09d - Client List)**

Provide a list of clients with whom the organization has contracted over the preceding four years. Include clients with which the organization has severed the relationship, and clients that have severed the relationship with the organization for financial deficiencies or malfeasance, charter revocation or non-renewal, statutory, regulatory, or charter compliance deficiencies, conflict of interest or other reasons, and explain the reason(s) for the severance of each relationship.

**e. Litigation (Filename: BPA S09e - Litigation)**

Provide a list of any current or past litigation, including arbitration proceedings, that has involved the organization, its related entities, or any of the charter schools it operates. If applicable, provide the results of the arbitration or litigation including any final order.