



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

# REQUEST FOR PROPOSALS

TO AUTHORIZE NEW CHARTER SCHOOLS

*DRAFT FOR PUBLIC COMMENT*

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: OCTOBER 16, 2024

2024

## 2024 REQUEST FOR PROPOSALS TIMELINE

At the time of the release of the 2024 Request for Proposals (“RFP”), the SUNY Charter Schools Institute (the “Institute”) intends to hold two review cycles for applications: one round for applications to open charter schools inside New York City, and one round for applications to open charter schools outside New York City. SUNY, in its sole discretion, reserves the right to modify the 2024 RFP schedule; hold additional round(s) in the year and/or incorporate any new statutory or regulatory requirements into this RFP. SUNY also reserves the right not to review applications that fail to meet minimum eligibility requirements.

ACTION	ROUND 1 (NYC)	ROUND 2 (OUTSIDE NYC)
Draft RFP Public Comment Period	October 16 - November 10, 2023	
Release of Final 2024 RFP	November 17, 2023	
Notify the Institute of Intent to Apply and Request Epicenter Login	December 7, 2023	March 2024
Intent to Apply Form Due	December 14, 2023, at 12:00 PM	April 2024
Final Proposals, Strategic Growth Narratives (if applicable), and Business Plans (if applicable) Due	January 16, 2023, at 12:00 PM	May 2024
Proposal Review	January-April 2024	May – July 2024
Applicant Notification	April 2024	August 2024
Anticipated Charter Schools Committee Meeting	June 2024	September/October 2024
Charter Transmittal Preparation	June 2024	October 2024
Proposed Charter Transmittal to New York State Board of Regents	July 2024	October 2024
Board of Regents' Action on Charters Approved by SUNY Trustees	August 2024	November 2024
Earliest Potential Opening Date for Approved Applications	Fall 2025	Fall 2025

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## DEFINITION OF TERMS

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**Education Corporation:** A charter school education corporation is a New York not-for-profit 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 school education corporation is entitled to operate one school in one or more sites for each charter issued to it.

**School:** A school is a vehicle for the delivery of a complete educational program to students that has independent leadership; dedicated staff; and, defined facilities. 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 physical site. A school is its own Local Educational Agency (“LEA”) for federal program purposes except for the education of students with disabilities, and its own accountability unit for purposes of the federal Elementary and Secondary Education Act of 1965 (“ESEA”) as amended by the Every Student Succeeds Act (“ESSA”).

**Site:** A site is one of a number of facility locations for a single charter school. Sites are typically grouped by grade range (e.g., Kindergarten – 4<sup>th</sup>-grade site, 5<sup>th</sup> – 8<sup>th</sup>-grade site, or 9<sup>th</sup> – 12<sup>th</sup>-grade site). A site would not be its own LEA, ESSA unit or State Accountability Designation. More than one charter school building tightly clustered (i.e., a campus) would also be a “single site” under New York Education Law. Without receiving an additional charter, an education corporation may not educate students of the same grade level in more than one site. The number of charters issued to an education corporation will determine the maximum number of sites it may have for any particular grade.

**Partner Organization:** A partner organization is a 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 approval of new SUNY authorized charters.

### SUNY AS A CHARTER AUTHORIZER

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The New York Charter Schools Act of 1998 (the “Act”) designates the SUNY Trustees as one of two statewide chartering entities, or “authorizers,” along with the New York State Board of Regents. Each authorizer has the authority to grant charters for the purpose of organizing new charter school education corporations to operate one or more independent and autonomous public charter schools or adding new charters to existing education corporations. SUNY is the largest charter school authorizer in New York State and the largest university-based authorizer in the country. SUNY currently authorizes 220 charter schools across New York State serving approximately 132,000 students.

The Institute supports the SUNY Trustees’ commitment to the guiding principles of the Act through its rigorous processes for reviewing new charter applications, monitoring charter school performance, and holding charters accountable for high academic achievement.

The Institute has been recognized by organizations including the CfBT Education Trust, the World Bank, and the National Association of Charter School Authorizers (“NACSA”), for the quality of its authorizing practices and specifically its new charter application process. The rigorous new charter application process helps establish consistently high-performing charter schools. An established track record of high academic achievement among SUNY-authorized charter schools affirms recognition of SUNY’s authorizing work.

The SUNY Trustees support diversity and innovative program designs in the charter schools they authorize, and support schools designed to increase equity and diversity in proposed charter school founding board of trustee members, founding teams, teachers, and staff. The SUNY Trustees set a high bar of expectations for student achievement realizing 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”); schools implementing the Diploma Programmes of the International Baccalaureate Programme; single-gender schools; schools that offer intensive foreign language instruction; schools implementing a diverse by design model; schools devoted to students who are or have been enrolled in the child welfare system, or are temporarily housed; a school infusing the principles of sustainability throughout the curriculum; schools designed specifically to serve the needs of students with autism; a rural school with a focus on agriculture; a Montessori school; schools with specific thematic foci such as basketball and nursing; 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 and strongly encourage prospective applicants to contact the Institute in the early stages of application development.

### CRITICAL INFORMATION FOR ALL APPLICANTS

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#### AVAILABLE CHARTERS AND APPLICANT ELIGIBILITY

At the time of the 2024 RFP's publication, the SUNY Trustees and the Board of Regents may together award a maximum of 84 charters statewide outside New York City, and a maximum of 9 charters inside New York City.

#### DIVERSITY, EQUITY, AND INCLUSION

SUNY's commitment to diversity, equity, and inclusion is foundational to its original mission. SUNY's mission statement begins as follows:

*"The mission of the state university system shall be to provide to the people of New York education services of the highest quality, **with the broadest possible access, fully representative of all segments of the population...**"*

The SUNY Trustees and the Institute are committed to promoting diversity, equity, and inclusion through our policies and practices, and support schools designed to promote equity and diversity in school leadership, staffing, and board membership from historically underrepresented communities.

#### REPLICATING APPLICANTS

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.

Institute evaluators 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. This assumes that the proposed school model is not materially different from the model used in one or more schools in which 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 regarding fiscal and human capital capacity becomes more rigorous when considering the award of multiple charters to one education corporation or founding team.

#### BUSINESS PLANS AND STRATEGIC GROWTH PLANS

In addition to the standard RFP responses, the Institute requires certain applicant groups to submit a Business Plan or Strategic Growth Plan Narrative. 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 (e.g., a partner organization or CMO) must*

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*submit a Business Plan* in addition to the standard RFP responses. 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). Guidance on what to submit for the Business Plan may be found in Appendix C, below.

Applicants from existing SUNY authorized charter schools *submitting a proposal seeking the authority to operate an additional school (i.e. to replicate)* must submit a Strategic Growth Plan Narrative. The required content of the Strategic Growth Plan Narrative is detailed with the other RFP responses below.

Institute staff and, at the Institute's discretion, external experts, review applicant group Business Plans and Strategic Growth Plan Narratives in tandem with their proposals to gauge CMOs', partner organizations', and education corporations' organizational and fiscal capacity to fulfill their obligations to the proposed school(s) effectively.

***NOTE: Applicants should contact the Institute at [Charter.NewApp@suny.edu](mailto:Charter.NewApp@suny.edu) in early stages of planning to determine whether a Business Plan or Strategic Growth Plan Narrative is required.***

## LEGISLATIVE REQUIREMENTS

- New York Education Law § 2852(9-a) requires authorizers to use an RFP process to award new charters. Education Law § 2853(1)(b-1) allows existing education corporations to seek authority to operate one or more additional charter schools “provided that a charter must be issued for each such additional school in accordance with the requirements for the issuance of a charter.”
- Education Law § 2852(9-a) requires SUNY to review proposals in accordance with the criteria and objectives in the RFP and to not consider applications that do not demonstrate: i) they can meet enrollment and retention targets for students with disabilities, ELLs, and students eligible for free and reduced-price lunch (“FRPL”) under the National School Lunch Program; and, ii) the applicant has conducted public outreach to solicit community input regarding the application and “to address comments received from the impacted community concerning the educational and programmatic needs of students.”
- Education Law § 2852(2)(e) prohibits applications from proposing to open in a New York City School District community school district where the total enrollment of students attending charter schools within the community school district in which the charter school will be located exceeds fifty-five percent of the total public school enrollment.
- Education Law § 2851(1) prohibits RFP applicants from contracting with a for-profit entity to operate a charter school.

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## PUBLIC DISCLOSURE

SUNY takes its statutory responsibilities to disclose information about new proposals 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 (or, for a replicator, the name of the education corporation), name of the proposed school, name of the applicants and public contact information, proposed enrollment and grades served, charter management or partner organization (if any), and the school district or New York City community school district (“CSD”) in which the school proposes to locate.
- The Institute will post copies of complete proposals, redacted of all personally identifiable information, within several weeks of receipt.
- 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 and all public and non-public schools in the surrounding geographic area<sup>1</sup> based on information filed with the New York State Education Department (“NYSED”).
- 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.<sup>2</sup>
- 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 at least two weeks prior to the Committee meeting to approve applications in order for comments to be included in the summary of public comments.

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<sup>1</sup> Education Law § 2857(1).

<sup>2</sup> Regulations of the Commissioner of Education, 8 N.Y.C.R.R. § 119.4, require school districts to hold a public hearing regarding application(s) within 30 days of receipt of the notice of the application(s) from SUNY, and to forward the hearing notices and comments regarding same to the Institute and NYSED”). More information is available at <http://www.nysed.gov/charter-schools/charter-school-regulations-1194>).

## SUNY'S REVIEW PROCESS

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SUNY's review of submitted proposals is a progressive, multi-step process. The SUNY Trustees have charged the Institute with recommending for their consideration only those proposals deemed to have the highest likelihood of success.

SUNY-authorized schools indicate the process adds value to the proposed program as applicants emerge from the process with a strong blueprint to build their schools.

The Institute's review process includes the following:

1. Intake of each proposal to ensure each component is materially and substantively complete and meets minimum eligibility requirements, thereby meriting 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 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 and/or standardized 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.
5. For proposals deemed strong enough to move forward 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 all applicable laws and regulations.
7. If the RFA process yields an application that the Institute identifies as strong enough to move on in the process, a representative of the Committee may interview the applicant(s) and proposed education corporation trustees.

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8. 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 REGARDING PROPOSED TRUSTEES

The Institute understands that applicants may add trustees to the education corporation's board in the future but expects applicants to have at least **five board members** at the time of application submission and identify four officers including a Chair, Vice-Chair, Secretary, and Treasurer.

All proposed board officers as well as the lead applicant(s) **must undergo background checks and fingerprinting** in order for the Institute to recommend the charter for approval. Institute staff will send instructions for completing the fingerprint process to the lead applicant(s) and proposed/actual board officers as necessary according to the timeline for application review. Failure to complete fingerprinting in a timely manner may delay the application review process.

Additionally, the Institute expects all proposed trustees to participate in the applicant interview.

### CRITERIA FOR RECOMMENDING PROPOSALS FOR APPROVAL

When the Institute receives a proposal, it first determines whether applicants meet minimum eligibility requirements as solely determined by the Institute, for example:

- Proposals must be sufficiently complete;
- 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 reserves the right not to review proposals that fail to meet minimum eligibility requirements.

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

- The proposal includes a viable plan to meet the enrollment and retention targets established by the SUNY Trustees for students with disabilities, ELLs, and students who are eligible for FRPL.
- 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:

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- 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.<sup>3</sup>
- 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 and when it becomes apparent that 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.

Further to the above, the strongest proposals are ones where all aspects of the proposed school from staffing and scheduling to finances and facility align with and support the implementation of the school's mission and key design elements. Applicants should seek to develop a proposal in which all aspects demonstrate continuity and consistency (for instance, there should be no discrepancies between the proposed academic program and the school's proposed budget).

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<sup>3</sup> Education Law § 2850(2).

### PREFERENCE SCORING

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SUNY's 2024 RFP includes preference criteria to prioritize proposals the Institute intends to recommend to the SUNY Trustees at the conclusion of the review process<sup>4</sup>.

Preference scoring does not occur until the conclusion of a review process.

The Institute bases preference scoring on nine criteria for which the proposal can earn up to a total of 39 points. Should the Institute be in a 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 charter application's preference score. Applicant groups who have not requested to delay the opening of already issued charters, and are not currently in additional planning years for already issued charters that required Authorizer approval, shall receive 3 additional preference points.

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<sup>4</sup> Education Law § 2852(9-a)(c)

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## SUNY PREFERENCE SCORING GUIDANCE

PREFERENCE CATEGORY	PRIMARY INDICATORS	POSSIBLE POINTS
<b>1. Community Need, Outreach, and Involvement</b>	The proposed charter school board of trustees and charter school founding team consists of individuals with demonstrated ties to the intended community or CSD where the school would be located.	<b>3</b>
	The proposal presents strong and credible evidence of a compelling need for this school model in the specific community or CSD where the school would be located.	
	The proposed school would be located in a community with a limited choice of high-performing public schools (in New York City this refers to specific CSD).	
	The proposal includes evidence of effective efforts to inform the intended community about the proposed charter school.	<b>3</b>
	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 community feedback into the proposal.	
<b>2. District Relations and Partnerships</b>	The proposal includes a detailed plan with specific strategies for establishing an ongoing relationship with the district. <sup>5</sup>	<b>3</b>
	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. <sup>6</sup>	
	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. <sup>7</sup>	

<sup>5</sup> Education Law § 2852(9-a)(c)(viii).

<sup>6</sup> Education Law § 2852(9-a)(c)(viii).

<sup>7</sup> Education Law § 2852(9-a)(c)(vi).

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PREFERENCE CATEGORY	PRIMARY INDICATORS	POSSIBLE POINTS
<b>3. Curriculum and Instruction</b>	The school will acquire, adopt, and use local, state, and/or national instructional improvement systems (e.g., curriculum selection and revision, formative and summative assessments, student data analysis systems, etc.) to provide teachers and school leaders with the information and resources needed to inform and improve instructional practices, decision-making, and overall effectiveness <sup>8</sup> and raise student achievement with the students they seek to serve.	<b>3</b>
	The school will increase student achievement and decrease student achievement gaps in reading/ELA and mathematics. <sup>9</sup>	
<b>4. High-Quality Assessment System</b>	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. <sup>10</sup> The system includes specific actionable plans for using results to support teachers' work in improving student achievement.	<b>3</b>
<b>5. Special Populations</b>	The school has specific staffing structures, strategies, ongoing supports, and oversight to accelerate the achievement of at-risk students including students with disabilities, ELLs, and students struggling academically, and proposes a strong, high-quality educational program for at-risk students.	<b>3</b>
<b>6. School Leadership</b>	The school has a coherent professional development program with explicit plans to evaluate its effectiveness.	<b>3</b>
	The school's leadership structure provides high-quality teacher supports including sustained coaching and comprehensive professional development that is likely to contribute to student achievement.	
<b>7. Success for Every Student</b>	The school has a coherent and detailed plan for creating an environment that promotes the positive social-emotional development and overall wellness of students and the adults that support them.	<b>3</b>

<sup>8</sup> Education Law § 2852(9-a)(c)(v).

<sup>9</sup> Education Law § 2852(9-a)(c)(i).

<sup>10</sup> Education Law § 2852(9-a)(c)(iv).

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PREFERENCE CATEGORY	PRIMARY INDICATORS	POSSIBLE POINTS
<b>8. Organizational Capacity and Fiscal Soundness</b>	The school has the capacity to implement quality management, leadership, and governance systems necessary to overcome initial startup problems, and the ability to establish an academically, organizationally, and financially viable new school or schools. <sup>11</sup>	<b>3</b>
	The proposed or current education corporation board has the professional experience, skill sets, structures, and procedures to provide rigorous oversight and support for a startup organization or additional school(s).	<b>3</b>
	The proposal contains a reasonable, feasible, and achievable financial plan and a budget to sustain the creation or addition of a new school or schools.	<b>3</b>
<b>9. Increase Quality Options</b>	The school will open in its first year serving middle school grades (e.g., 6 <sup>th</sup> – 8 <sup>th</sup> grade) and presents a detailed and viable plan for a successful transition to high school for those students. <sup>12</sup>	<b>3</b>
	The school will open in its first year serving high school grades (e.g., 9 <sup>th</sup> – 12 <sup>th</sup> grade) 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 dropouts, and/or students with academic skills below grade level. <sup>13</sup>	<b>3</b>

<sup>11</sup> Education Law § 2852(9-a)(c)(vii).

<sup>12</sup> Education Law § 2852(9-a)(c)(iii).

<sup>13</sup> Education Law § 2852(9-a)(c)(ii).

### APPLICATION REQUIREMENTS

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Applicants submit up to three sets of different materials in response to the SUNY Request for Proposals.

- **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.
- **Proposal:** All applicants must submit a proposal.
- **Business Plan or Strategic Growth Plan Narrative:** Some applicants must complete a Business Plan or Strategic Growth Plan Narrative. See the Business Plan section above and Appendix C for additional information.

### RESOURCES

The Institute's website includes links to [multiple documents providing guidance to applicants](#). The Institute periodically updates this site with additional, sometimes critical, guidance. Applicants should check the website regularly. If you have any questions, please email [charter.newapp@suny.edu](mailto:charter.newapp@suny.edu).

# FORMATTING AND SUBMITTING PROPOSALS AND BUSINESS PLANS

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## INTENT TO APPLY FORM NOTIFICATION AND SUBMISSION

Applicants must contact the Institute by emailing [charter.newapp@suny.edu](mailto:charter.newapp@suny.edu) at least one week prior to the Intent to Apply form deadline to request information about how to submit a form. Please include the lead applicant's full name, email address, and proposed school name in this request. Intent to Apply Forms are available on [our resource page](#). Applicants must upload Intent to Apply forms to Epicenter (see below for additional information).

## SUBMITTING MATERIALS TO THE INSTITUTE

Applicants must upload digital files to Epicenter, the online system the Institute uses for document management. The Institute will provide each applicant with Epicenter login credentials for this purpose. Note that this is the only system applicants may use to submit proposals including the Intent to Apply Form and that the Institute will not accept materials submitted via email.

## DOCUMENT FORMATTING

- Applicants must use the electronic file conventions included in both the RFP and the Business Plan Requirements.
- Each submitted file should include a heading on the first page indicating the request and number the response pertains to (e.g., "R02ab - Addressing Need").
- 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 4<sup>th</sup> page of the 11<sup>th</sup> RFP request would be numbered "Response 11-4."
- The Institute does not have specific text formatting requirements. The Institute recommends but does not require an 11 or 12-point sans-serif font (e.g., Calibri, Arial, etc.).

***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 using outdated templates.***

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## FILE STRUCTURE

- The Institute will assign applicants all relevant requests in Epicenter. Applicants must organize files as follows:
  - Do not upload multiple files to a single submission in Epicenter. If your submission for a particular request has multiple files, combine them into a single document or file before submitting.
  - 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 track changes and the track changes setting must be off prior to submission.
  - MS Excel® print settings must enable printing to letter-sized paper.
  - Please optimize scanned Adobe Acrobat® files to minimize the file size.

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

## HOW TO ADDRESS REQUESTS THAT DO NOT REQUIRE A DIRECT RESPONSE

**Applicants must submit a file responding to every request, including those that are not applicable.** If the request does not apply, applicants should submit an appropriately formatted file for the request that states, “The request is not applicable.” The Institute will consider any application incomplete that does not include a response to every request.

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## PROPOSAL ELECTRONIC FILE CONVENTIONS

REQUEST	REQUIRED FILE NAME	FILE TYPE
<b>Transmittal and Summary</b>	R-00a - Transmittal and Summary Form	Adobe Acrobat®
<b>Statistical Overview</b>	R-00b - Statistical Overview	MS Excel®
<b>Request 1</b>	R-01ac - Community Need and Proposed School Impact	MS Word®
<b>Request 2</b>	R-02ab - Addressing Need	MS Word®
<b>Request 3</b>	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®
	R-03g – Probationary Status of Affiliated Charter School(s)	MS Word® or Adobe Acrobat®
<b>Request 4</b>	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®
<b>Request 5</b>	R-05ac - Enrollment	MS Word®
	R-05d - Admissions Policy	MS Word®
<b>Request 6</b>	R-06af - Curriculum and Instruction	MS Word®
	R-06g - Draft Accountability Plan	MS Word®
<b>Request 7</b>	R-07ac - Calendar and Schedules	MS Word® or MS Excel®
<b>Request 8</b>	R-08ad - Specific Populations	MS Word®
<b>Request 9</b>	R-09ad - Instructional Leadership	MS Word®
<b>Request 10</b>	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®
<b>Request 11</b>	R-11ab - School Management and Leadership	MS Word®

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<b>Request 12</b>	R-12ac - Personnel	MS Word®
	R-12d - Personnel Policies	MS Word®
<b>Request 13</b>	R-13a - Partner Organizations	MS Word®
	R-13b - Partner Commitment	MS Word® or Adobe Acrobat®
<b>Request 14</b>	R-14ad - Governance	MS Word®
	R-14e - Bylaws	MS Word®
	R-14f - Code of Ethics and Conflict of Interest Policy	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®
<b>Request 15</b>	R-15 - District Relations	MS Word®
<b>Request 16</b>	R-16ac - Facilities	MS Word®
	R-16d - Facilities Documents	MS Word® or Adobe Acrobat®
<b>Request 17</b>	R-17 - Food Services	MS Word®
<b>Request 18</b>	R-18 - Health Services	MS Word®
<b>Request 19</b>	R-19 - Transportation	MS Word®
<b>Request 20</b>	R-20 - Insurance	MS Word®
<b>Request 21</b>	R-21ad - Fiscal Soundness	MS Word®
	R-21e - Budget Template	MS Excel®
	R-21f - Letters of Commitment	MS Word® or Adobe Acrobat®
	R-21g - Non-SUNY Financials	MS Word® or Adobe Acrobat®
<b>Request 22</b>	R-22 - Action Plan	MS Excel®
<b>Request 23</b>	R-23a - Supplemental Narrative	MS Word®
	R-23b - Supplemental Attachments	MS Word® or Adobe Acrobat®
<b>Request 24</b>	R-24 - Full Merged Application	Adobe Acrobat®
<b>Strategic Growth Plan Narrative</b>	Strategic Growth Plan Narrative	MS Word® or Adobe Acrobat®
<b>Business Plan</b>	Refer to the Business Plan Requirements in Appendix C for file conventions.	

SUNY

Request for Proposals (2024)

# APPLICATION REQUESTS

Some applicants must also complete a Business Plan or Strategic Growth Plan Narrative. Refer to the Business Plan and Strategic Growth Plan Narrative section of the Introduction for more information, and to Appendix C herein. If you are unsure whether you must submit a Business Plan and/or Strategic Growth Plan Narrative, please contact the Institute at [Charter.NewApp@suny.edu](mailto:Charter.NewApp@suny.edu).

# APPLICATION REQUESTS

## PROPOSAL TRANSMITTAL AND SUMMARY FORM

All applicants must submit a signed Transmittal and Summary Form with the proposal.

The Institute only accepts valid electronic signatures. Applicants may not submit a scanned copy of the Transmittal and Summary form or a typed signature. The Transmittal and Summary Form is available from the Institute's website on [our resource page](#).

### **NOTES:**

- ***Please ensure the enrollment numbers provided on the Transmittal and Summary Form are consistent with the enrollment numbers provided in all other responses, such as Response 5 – Enrollment, and Response 21- Fiscal Soundness.***
- ***In the case of existing New York charter school education corporations applying for authority to operate additional schools, the preferred lead applicant is the board chair as the existing charter school education corporation is applying per Education Law f2853(1)(b-1). The board may also designate another person as lead applicant.***

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### **What to Submit:**

Submit the completed electronic copy of the Proposal Transmittal and Summary Form as an Adobe Acrobat® file named: **R-00a - Transmittal and Summary Form.**

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## STATISTICAL OVERVIEW FORM

Applicants associated with one or more current operating education corporations should complete the Statistical Overview – Existing Schools chart available on [our resource page](#).

Non-replicators/first-time applicants should submit a document indicating that this request is not applicable.

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### **What to Submit:**

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

## SCHOOL ESTABLISHMENT

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### 1. Community Need and Proposed School Impact

#### a. Community Description and Need

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

- The applicant’s rationale for selecting the community, including known or anticipated ties between the community and the founding group;
- Provide evidence demonstrating that the proposed school would provide an educational program aligning with the goals and needs of the community. (In other words, explain why this school and why this place?);
- A description of the community from which the proposed school intends to draw students. Applicants should consider the “community” as those areas from which the school intends to recruit a majority of its students, which may or may not be the school district (or in New York City, the CSD) of location alone;
- A description of community demographics, including the demographic statistics of the student populations (e.g. race/ethnicity, poverty, students with disabilities and English language learners (“ELLs”)), as well as an analysis of demographic trends. Applicants may find some of this information at [NYSED’s Data Site](#), and may include other current, reliable sources;
- Performance of local schools in meeting the community’s needs, including discussion of the strengths and weaknesses of the public and nonpublic school options in the intended community of location;
- How the proposed school would provide a needed alternative for the community, including discussion of any existing charter schools in the area and how the proposed school’s program is different and would provide greater educational benefit to students who would attend the proposed school; and,

#### b. Programmatic Impact

The Act requires applicants to provide an assessment of the projected programmatic impact the proposed charter school would have on existing public and nonpublic schools in the same geographic area as the proposed school location.<sup>14</sup> Responses should include:

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<sup>14</sup> NY Education Law SS 2851(2)(q)

## APPLICATION REQUESTS

- 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, including whether these schools have open enrollment options for students and if so at which grade levels;
- Information demonstrating a thorough analysis of existing educational options for the community and target population that considers ongoing demographic changes and trends and attempts to project their impact on enrollment at nearby public and nonpublic schools;
- Analysis of how the proposed school’s enrollment plan would impact the academic programs, enrollment, and overall viability of the public and non-public schools; and,
- If proposing to replicate and add a school to an existing education corporation, also discuss the programmatic impact on the existing school(s) within the education corporation including if the new school would facilitate or necessitate changes to the existing school(s)’ academic program, enrollment, or overall viability.

### c. Fiscal Impact

The Act requires an applicant to provide “an assessment of the projected programmatic and fiscal impact of the school on other public and nonpublic schools in the area.”<sup>15</sup> Complete the fiscal impact table in the budget template (found in the [Applicant Resource Center of the Institute’s website](#)) and include a copy with this response. Discuss the fiscal impact of the school on other public and non-public schools in the area including:

- Enrollment expectations;
- Per Pupil Allocation assumptions using the most recent school per pupil aid, available on [NYSED’s website](#);
- Dollar amounts the proposed school anticipates receiving from each anticipated sending district in per pupil funding;
- Other projected revenue the proposed school anticipates receiving from the district (special education, grants, etc.);
- Projected budget for the school district of location (please note the source and year for this figure); and,

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<sup>15</sup> NY Education Law SS 2851(2)(q)

## APPLICATION REQUESTS

- Yearly projected impact as a percentage of each sending district’s budget (for districts projected to send at least ten students).

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### What to Submit:

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

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## 2. Addressing the Need

### d. Mission

Provide the mission statement for the proposed school. The mission statement should be brief, clear, and communicate the purpose of the proposed school to its stakeholders and the public.

### e. Key Design Elements

Provide a clear and concise overview of the proposed school’s key design elements, which are the most important, non-negotiable aspects of the school critical to its success. This may include elements such as a specific subject focus or theme (e.g. the arts, environmental science, social justice, etc.), specific targeted student population the school would serve (e.g. students with autism, multi-language learners, overage and under-credited students, etc.), specific programs (e.g. career and technical education, International Baccalaureate, etc.), unique staffing models, schedules, assessment systems, and so forth.

In addition to a list of the proposed key design elements, please include:

- an analysis of any research, evidence of effectiveness, or examples of existing programs that support the selection of these key design elements with appropriate citations;
- 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; and
- discussion of how the 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.

# APPLICATION REQUESTS

***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.***

## **What to Submit:**

Submit the narrative response, not exceeding five pages in length, 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 of an existing SUNY-authorized education corporation, indicate “Education Corp./Charter School.” Provide a brief biographical description for the applicant(s) including relevant background experience and educational background. Provide a description of the applicant's knowledge of and relationship to the community in which the proposed school would be located.

#### **Notes:**

- **The Institute requests that proposals identify no more than 1-2 persons as lead applicants.**
- **As noted above, the lead applicant(s) and proposed board officers must undergo fingerprinting and criminal background check as part of the application review process.**

#### **b. Proposal History**

Describe the genesis of the proposal, 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 (e.g., support organizations or consultants), even if these outside advisors are not active members of the founding group.

If the proposed school is similar to or a replication of an existing school inside or outside of New York State, the response should address how the founding group made the decision to replicate the school and address any changes proposed from the original school model.

#### **c. List of Founding Team Members**

Provide a table that lists all key individuals involved in developing the application along with a brief biography (approximately one paragraph) for each founding team member. Founding

## APPLICATION REQUESTS

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. This response should also identify the overall leader(s) of the effort to develop the proposal, the individual(s) who served as the primary author(s), and the extent to which the founding team used consultants or similar external assistance.

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, or any substantially similar proposal, was previously withdrawn from consideration or rejected by the SUNY Trustees and/or any other charter authorizer in any state or location (e.g., the New York State Board of Regents). If yes, provide:

- The name of the proposed school(s) when previously submitted;
- The date(s) of the previous submission(s); and,
- A detailed summary of what has changed in the proposal since its previous submission(s) and the rationale for these changes.

Indicate whether the applicant and/or founding team 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);

Indicate if any of the lead applicants have ever had a charter school application granted by any charter authorizing entity in any state or location, but that school is no longer in existence. If yes, provide:

- The name of the school,
- The city and state where the school operated;
- The date the school opened and date the school closed;
- The name of the authorizing charter entity for the school; and

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- An explanation of the circumstances that led to the school ending operations.

### **NOTES:**

- ***Failure to disclose previous applications by the same or a similarly constituted founding group for a substantially similar school to an authorizing entity in any state may result in the application's disqualification for review by the Institute.***
- ***Applications submitted simultaneously to multiple charter authorizers in New York State will generally not be considered for review by the Institute. Simultaneous submission refers to a substantially similar proposal with a substantially similar applicant team and/or location contemporaneously under review by the Board of Regents.***

### **e. Letters of Justification for Previously Denied Applications**

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

### **f. Founding Team Resumes**

Submit a current resume or biography for all founding team members (not including board members, as board member resumes are submitted in Response 14).

### **g. Probationary Status of Affiliated Charter School(s)**

If any currently operating charter school within the proposed education corporation, or associated with the proposed charter management organization, or associated with the lead applicant(s) or founding team members, has been in violation of the terms of its charter or been placed on probationary status or any other corrective action within the current charter term, please provide written confirmation from the existing authorizing entity that the conditions related to the violation or probationary status have been satisfied and lifted. ***Failure to disclose this information may result in the application's disqualification for review.***

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### **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.**

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- Attach founding team resumes as Microsoft Word® or Adobe Acrobat® files named: **R-03f - Founding Team Resumes.**
- Attach probationary status of affiliated charter school(s) as Microsoft Word® or Adobe Acrobat® files named: **R-03g – Probationary Status of Affiliated Charter School(s).**

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#### 4. Community Outreach, Engagement, Support, and Demand

##### a. Description and Analysis of Community Outreach and Engagement

In order for the SUNY Trustees to consider any application for approval, the proposal must “rigorously demonstrate” that the applicant has conducted public outreach “in conformity with a thorough and meaningful public review process” designed “to solicit community input regarding the proposed school and address comments received from the impacted community concerning the educational and programmatic needs of students.”<sup>16</sup> In order for the Institute to recommend any proposal to the SUNY Trustees for approval, the proposal must include evidence of the following three criteria:

- The applicant informed the community of the intent to develop a school proposal in a timely fashion, including how to provide comment;
- The community had meaningful opportunities for input on that proposal; and,
- There was a thoughtful process for considering community feedback and incorporating it into the final proposal, especially regarding the educational program of the proposed school, and the educational needs of students.

Provide a narrative description describing efforts taken to demonstrate the three criteria listed above, 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.

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<sup>16</sup> Education Law SS 2852(9-a)(b)(ii)

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The narrative should explain how comprehensive efforts were made to engage with community members that are fully representative of the overall community demographics described in Response 1.

In addition to the narrative description, this response may also include a table, bulleted list, etc. with information about outreach efforts. Concrete artifacts and evidence related to community outreach and engagement should be submitted in response R-04d, Evidence of Community Outreach and Engagement.

### **b. Description and Analysis of Community Support**

Provide a narrative description of support for the proposal from community stakeholders or others including a candid analysis of both the depth of support and opposition to the school from stakeholders such as community members, civic organizations, and elected officials. Concrete artifacts and evidence related to community support should be submitted in response R-04e, Evidence of Community Support.

Please note that the content for this response differs from R-04a in that this response should focus on analyzing community interest and support for the school, any known opposition that may exist, and how that support and opposition will affect the school's ability to open successfully. In contrast, R-04a should focus on efforts to inform and engage with the community through the planning and development of the proposal.

### **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 the experience of how many waitlist entries it takes to fill a seat. Concrete artifacts and evidence related to student demand should be submitted in response R-04f, Evidence of Student Demand.

**Note for Replicators:** If using the number of students on the waitlist of an existing school as evidence of demand for an additional school, be sure to clearly explain the relationship between that waitlist and the location of the proposed school.

### **d. Evidence of Community Outreach and Engagement**

Submit documents that provide evidence of community outreach (e.g., flyers, websites, social media pages, in-person or virtual meeting announcements including dates and times, online survey results, media articles and advertisements, email outreach, etc.).

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Evidence should demonstrate use of multiple strategies to solicit community input, and might include partnering with community-based organizations to host meetings, holding planning meetings with community members, addressing local elected officials or education stakeholder groups such as school boards, community boards, or (in New York City) Community Education Councils (“CECs”). In all cases, applicants should include a description of the outcome of any meeting requests of community stakeholders, even if the request was denied.

Include a cover sheet with a table that identifies each document included with the evidence for this request, its page number(s), and a brief description of the document.

### 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, online survey results, etc.). Evidence of support should be concrete and specific to the proposed school. Generic support for charter schools or educational choice and innovation in general is not sufficient.

Include a cover sheet with a table that identifies each document included with the evidence for this request, its page number(s), and a brief description of the document.

### 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.).

Include a cover sheet with a table that identifies each document included with the evidence for this request, its page number(s), and a brief description of the document.

***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.***

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### 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.**

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- Attach evidence of demand as a Microsoft Word® or Adobe Acrobat® file named: **R-04f - Evidence of Demand.**

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### 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 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 (i.e., the proposed school's "backfill" policy); and
- A statement about any growth that the applicants may seek in a future charter period if the school is renewed.

#### **NOTES:**

- ***A charter school may not open serving only Kindergarten unless it is an existing SUNY authorized education corporation seeking to open an additional school.***
- ***Unless there is a compelling reason, a charter school must enroll a minimum of 50 students at a single site by its second year of operation. If you believe there is a compelling need for an exemption to this requirement, contact the Institute before submitting your application.***
- ***If a school's enrollment at any point in its first two years of operation exceeds 250 students, all employees of the school would be deemed members of a separate bargaining unit of the same employee organization that represents similar employees of the school district of location.***
- ***The school district of location or NYSED reviews applications for pre-K programs. Applicants may not submit an application for pre-K until the SUNY Trustees approve the charter.***

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### 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 on our website;
- Describe the recruitment strategies the school will employ to attract each target population to the school;
- 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; and,
- Any replicator that is not currently meeting targets at any of its schools must provide an explanation as to why it is not meeting the targets, efforts made to meet the targets, and what new strategies the applicant intends to employ to meet the targets.

***Note: 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.<sup>17</sup>***

### c. Student Enrollment Table

Complete the student enrollment table provided in the budget template and include a copy of it with this request. The proposed enrollment should be entered in exact absolute numbers (e.g. 135) and not as a range (e.g. 130-140).

***Note for replicators: Include separate enrollment charts for both the proposed new school and for the overall education corporation.***

### 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 the location of the proposed school,

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<sup>17</sup> See Appendix A of this document for further information.

## APPLICATION REQUESTS

and employees of the education corporation or CMO (up to a 15% set aside) in accordance with the Act. The admissions policy should also indicate in which grades the school would admit students, whether it would fill seats vacated by enrolled students (i.e. “backfill”), and if applicable, the date after which the school would no longer accept students.

Further [Institute guidance relating to school admissions](#), including the new employee and CMO employee preference, is available on our website.

***Note for replicators: (1) Education corporations operating an existing Universal Full-Day pre-Kindergarten may provide a preference to those students in admission to the Kindergarten of a new school(s), but should do so consistently across all schools. This preference does not extend to pre-Kindergarten programs operated by community based organizations related to the charter school(s). (2) In the case of an existing education corporation proposing to operate an additional school, note that each school may have its own distinct admissions policy; they do not need to be uniform across schools.***

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### Information for Replicators:

- 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.**

### 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

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### 6. Curriculum and Instructional Design

***NOTE: The responses to Requests 6(a-f) together may not exceed a total of 50 pages in length. This does NOT include Request 6(g) - Draft Accountability Plan. The Institute encourages applicants to use Requests 6(a-f) to develop a narrative explaining in detail the proposed school's academic program and use Request 23 – Supplemental Information to provide any supporting curricular artifacts (e.g., planning templates, pacing calendars, evaluation rubrics, etc.).***

#### 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 sequence documents, 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 including as it relates to ascertaining the impact of student learning loss;

## APPLICATION REQUESTS

- 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;
- 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, and students and parents; and
- Describe how the school will inform parents and students about academic achievement and progress including the timing, frequency, and nature of the 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, 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) – Curriculum Selection Process; and,
- An explanation of how the instructional methods align with the school's educational philosophy and further 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 and specials (e.g., physical education, art, etc.). This should include, at a minimum:

- A general description of the specific content and skills that would be addressed in the course, if known;

## APPLICATION REQUESTS

- The curricular programs (e.g., Core Knowledge, Singapore Math, FOSS, etc.) that would be used in each course;
- Essential course-specific assessments (e.g., the state's 3<sup>rd</sup> – 8<sup>th</sup> grade assessments/Regents exams, end-of-course portfolios or performances, etc.); and,
- If serving students in grades 9-12, provide an outline of course sequences and credits awarded for course completion that would lead to graduation.

### e. Promotion and Graduation Policy

Explain the school's policies for promoting students from one grade to the next including specific descriptions of the academic and nonacademic criteria the school will consider in making promotion decisions, including early promotion. 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 in accordance with [NYSED guidance](#);
- Explain how students will meet the requirements set forth by New York State for the granting of each relevant type of diploma; and,
- Include a description of any additional specific graduation requirements and the rationale for their selection.

### f. Programmatic Audits

Describe a plan for 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, who may include outside consultants;
- Description of the written end product; and,

## APPLICATION REQUESTS

- How and to whom such written end product will be disseminated.

### g. Draft Accountability Plan

Complete the [Accountability Plan Template](#) available on the Institute’s website. The web page includes additional details to assist the applicant in drafting the required SUNY 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.

***NOTE: Much of the Institute’s Accountability Plan template centers on the results of annual state exams. The Institute encourages applicants to consider additional means of accountability and be prepared to discuss them if invited to participate in an interview.***

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### Information for Replicators

- If any elements of the curriculum and instructional design laid out in response 6(a-f) will be different from the original school, specifically describe the changes and rationale.

### What to Submit:

- Submit the response to Request 6(a-f) as a Microsoft Word® file named: **R-06af - Curriculum and Instruction. This response may not exceed 50 pages in length.**
- Attach a draft accountability plan as a Microsoft Word® file named: **R-06g - Accountability Plan.**

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## 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 the following, and which demonstrates compliance with New York State [requirements for minimum instructional hours](#), which all schools must provide:

- 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 outside school hours such as tutoring;
- First and last day of classes;

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- 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 first-year calendar or where further explanation is necessary.

### b. Sample Student Schedule

For each division of the school (e.g., lower elementary, upper elementary, middle, 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 individual core academic subjects in each grade (e.g., ELA, mathematics, science, and social studies), and the total number of 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' workday; and,
- Time devoted to core teaching assignments, planning, and other activities.

#### What to Submit:

Submit the response to Request 7 as a Microsoft Word® file named:

**R-07ac - Calendar and Schedules.**

## APPLICATION REQUESTS

### 8. Specific Populations

Responses to Request 8 should reference and address the needs of the school’s target population and demonstrate a detailed understanding of the population of students to be served, as well as the fit between the proposed school design and the specific at-risk students the school seeks to serve. Responses should demonstrate an understanding of legal requirements and also articulate a clear theory of action as to how the school will meet the needs of at-risk students in a way that reflects the proposed school design, curricula, and personnel.

#### a. Struggling Students

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

- How the school will determine and identify which students are struggling including within the context of a Response to Intervention (“RTI”) program. The applicant should clearly define the term “struggling student” as it would be applied in the school;
- The strategies, programs, specific curricula, 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. The Institute strongly recommends that applicants refer to [NYSED’s Guidance on Charter Schools and Special Education](#) in developing responses. This response must include:

- A statement agreeing to abide by all of the assurances found in Appendix B of this RFP – Special Education Assurances;
- Discussion of the relationship between the school and the district Committee on Special Education (“CSE”);

## APPLICATION REQUESTS

- 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), and 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.) and a brief discussion about how specifically the school would ensure that students entitled to these services would continue to receive them in a remote setting;
- 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 and service providers;
- The process that will be used to monitor the achievement and progress of students with disabilities in the general context of the program in addition to the goals and objectives provided in the student’s IEP;
- Specific professional development provided to the instructional staff for identifying, supporting, and evaluating the progress of special education students including the implementation of RTI and behavioral intervention plans (“BIPs”) in the classroom; and,
- The process that will be used to evaluate the efficacy of the program and ensure that the needs of these students are being met.

### 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 consistent with [New York State required procedures](#) 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;

## APPLICATION REQUESTS

- The approach, resources, and personnel (including qualifications and 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;
- How the school will make all necessary materials available to parents of ELLs in a language that they can understand;
- How the school will make after-school and other extra-curricular programming accessible to ELLs; and,
- The process that will be used to evaluate the efficacy of the program and instructors and ensure that the needs of ELL students are being met.

#### **d. Gifted and Advanced Students**

Discuss the school's methods and strategies for identifying and serving students who are academically advanced and/or gifted including:

- How the school will identify advanced and/or gifted and talented students; and,
- Strategies and programs the school will use within general education classrooms and in other settings to accelerate learning for advanced and gifted and/or talented students including how the school would implement these strategies in a remote setting.

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#### **What to Submit:**

Submit the response to Request 8(a-d) as a Microsoft Word® file named:

**R-08ad - Specific Populations.**

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## APPLICATION REQUESTS

### 9. Instructional Leadership

Proposals should include strategies to promote and prioritize diversity and equity within the operational, instructional, and administrative leadership and staff.

#### a. Instructional Leadership Roles

Describe instructional leadership (i.e. individuals supervising implementation of the academic program) 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 including a delineation of which instructional staff each instructional leader is responsible for supporting;
- The process and criteria for identifying and selecting instructional leaders including how such criteria align 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. The response should include a clear outline of how and when specific school leaders will conduct their support of individual teachers explaining the frequency of different forms of support teachers can expect on a regular basis (e.g. the frequency of classroom observations and feedback, length and substance of other development meetings such as one-on-ones). This response differs from 10c in that this response should focus on supports individual teachers receive to foster their instructional development, as opposed to 10c which focuses on supports that all teachers or particular groups of teachers will receive.

#### c. Professional Development

Describe how the schoolwide professional development program (i.e. all staff PD sessions, specific group PD sessions such as planning meetings, new teacher trainings, etc.) will assist teachers in meeting all 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;

## APPLICATION REQUESTS

- How the school’s professional development plans support the school’s mission, key design elements, and the target and special populations’ needs;
- How the professional development program will meet the needs of all teachers, including novice teachers, teachers new to the school, highly effective teachers, and teachers of all subjects, including teachers of students with disabilities and ELLs; and,
- The process for evaluating the efficacy of the professional development program.

### d. Teacher Evaluation and Accountability

Describe how the school will formally evaluate teachers and hold them accountable for student achievement. If established teacher evaluations systems (e.g., Danielson rubric) would be used, the response should explain how the particular system was chosen and how it aligns with the overall proposed mission and academic program. This response should also include:

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

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#### What to Submit:

Submit the response to Request 9(a-d) as a Microsoft Word® file named: **R-09ad - Instructional Leadership**.

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## 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 and methods the school intends to implement to support the social and emotional development in students and rationale for their selection;

## APPLICATION REQUESTS

- Any specific programs and methods the school intends to implement to support teachers and other staff in creating and sustaining an equitable school culture and the rationale for their selection;
- How the school will maintain a safe and orderly environment; and,
- How the school will instill the culture and expectations with board members, staff, students, and families.

### **b. Discipline Policy**

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

- Clearly specify (i) the substantive acts for which a child may be disciplined; (ii) the consequences resulting from committing each such act; (iii) the due process procedures the school will follow in applying its disciplinary policy (in accordance with federal law); and, (iv) the individuals responsible for carrying out the discipline policy and any appeals;
- Explain the procedures for providing alternative instruction to students who are suspended or expelled (whether in-school or out-of-school) in full compliance with state requirements;
- Include specific methods that comply with the federal Gun Free Schools Act, including reference to mandatory penalties required by the law; and,
- Set forth the 14<sup>th</sup> Amendment due process protections for both short-term suspension of 10 or fewer days and longer term suspensions of greater than 10 days based on U.S. Supreme Court case law (*Goss v. Lopez*, 419 U.S. 565 (1975)).

### **c. Discipline Policy – Students with Disabilities**

Provide the school's discipline policy for students with disabilities with assurances that it is in conformity with the federal Individuals with Disabilities Education Act ("IDEA") and regulations. The policy should address topics such as the discipline of students who have a behavioral intervention plan ("BIP") in their IEP and detail how classroom teachers would be knowledgeable about such plans.

### **d. Dress Code Policy**

If the school would implement a dress code policy, describe the policy and the rationale for its selection. Include a description of how the school would subsidize the cost of uniforms for parents unable to afford them.

## APPLICATION REQUESTS

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### 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-10b - 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 Policy.**
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## ORGANIZATIONAL VIABILITY

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### 11. School Management and Leadership

#### a. Organizational Chart

Provide organizational charts for both the first and fifth years of operation clearly showing reporting structures between the school leader(s), the board of trustees, and staff. If the 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 (e.g., 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.

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#### What to Submit:

Submit the response to Request 11 as a Microsoft Word® or Adobe Acrobat® file named: **R-11ab - School Management and Leadership**.

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### 12. Personnel

#### a. Staffing Chart and Rationale

Complete the table provided in the budget template to list every position (both instructional and non-instructional, and including part-time 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 and identifies a specific comparative

## APPLICATION REQUESTS

source for staff salaries (e.g., a document with teacher salaries from the school district of location). Please note all positions outlined within the application should be reflected in the staffing chart.

### b. Qualifications and Responsibilities

Provide a list of qualifications and responsibilities for each position including all instructional, non-instructional, and administrative positions as well as any part-time positions.

### c. Staff Recruitment and Retention

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

- The processes and policies to recruit and hire qualified teachers and other staff members that consider the specific quality and availability of talent in the proposed geographic area; 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. The policies should include Act requirements for personnel such as fingerprint supported criminal background checks and receipt of the Code of Ethics, Conflict of Interest Policy (if separate), and Whistleblower Policy, and ensure compliance with applicable state and federal employment laws and regulations.

The hiring procedures described in the personnel policies must include (in addition to other anti-discrimination language that may be required by law) specific reference to the fact that the school will not discriminate on the basis of gender in compliance with Title IX of the Education Amendments of 1972, 20 USC § 1641, and 34 CFR § 106.9, and list the name, office address, and telephone number of the employee or employees appointed to provide information and investigate complaints pursuant to 34 CFR § 106.8.

# APPLICATION REQUESTS

## 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

Describe any partner organization(s) that will have a significant relationship with the proposed school. Explain the due diligence process used to select the partner(s) and its role in the development of this proposal. 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(s);
- A description of the nature and purpose of the relationship;
- Names of proposed school board members affiliated with the organization(s); and,
- Evidence of the organization's ability to do business in New York.

***NOTE: Applicants submitting a proposal in conjunction with a CMO do not need to include information about the CMO in this response, as such applicants must submit a separate Business Plan in conjunction with the proposal.***

***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 as well as Appendix C herein for further information. The Institute encourages applicants to contact our office well in advance of the application submission deadline to ensure a full understanding of the proposed legal structure and operational aspects.***

### 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 proposed school.

## APPLICATION REQUESTS

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

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### 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**

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## 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 proposed board members. In circumstances where one or two persons affiliated with a CMO will serve on the education corporation board, a total of at least six or seven trustees must be identified when the proposal is submitted. Refer to the Guidance Handbook for more details.

- Under the heading “Position on the Board,” please note any leadership and/or affiliations that proposed board members would hold. For example: “Board Chair,” “Treasurer,” “CMO Representative,” “Parent Representative,” etc.
- 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 the 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 in limited circumstances.***

## APPLICATION REQUESTS

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.					

### b. Education Corporation Board Roles and Responsibilities

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

- Selecting school leader(s) (and partner or management organizations, if any);
- Monitoring school performance including fiscal performance, specifically detailing what that monitoring will entail and what sources of data it will use to assess that the school is meeting its mission, accountability, fiscal, and operations goals; and,
- Evaluating school leaders (and partner or management organizations including CMOs, if any) and holding them accountable for the 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:

- *Ex-officio* members (voting and non-voting);
- Information to be received from the CMO, partner, school leadership, staff, or contractors as applicable;
- New trustee orientation process; and,
- Board/trustee training and development including the self-evaluation tool the board intends to use.

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### d. Stakeholder Participation

Explain how the board will effectively collaborate with parents, the community, and school staff in the governance of the educational corporation.

### e. Bylaws

Provide a draft of the proposed education corporation's governing bylaws. Applicants should reference the [Institute's Board Governance Guide](#) in developing bylaws.

### f. Code of Ethics and Conflict of Interest Policy

Provide a draft of the proposed education corporation's code of ethics and conflict of interest policy. The code of ethics must include a comprehensive and formal conflict of interest policy with specific procedures for implementing the policy and assuring compliance with the policy. The Code of Ethics and conflict of interest policy (which may be one document) must be written to apply not only to trustees but also to officers and employees of the school in conformity with N.Y. General Municipal Law. Please see the [Board Governance Guide](#) 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 and informal complaints under the Act including from staff, parents, employees, and contractors. It may also include procedures for handling informal complaints. Please refer to the [Guidelines for Complaint Policies and Procedures](#) available on our website.

### h. Board Member Resumes

Submit current resumes for all board members that include each board member's professional experience and educational background.

### 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.

***NOTE: Existing SUNY-authorized education corporations submitting an application to open a new school are not required to submit RFI forms for existing trustees.***

## APPLICATION REQUESTS

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### What to Submit:

- Submit the response to Request 14(a-d) as Microsoft Word® file named: **R-14ad - Governance.**
  - Attach Board Bylaws as a as Microsoft Word® file named: **R-14e - Bylaws.**
  - Attach the Code of Ethics 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. Include any evidence of efforts taken to establish a relationship with the district and the results of such outreach.

#### b. School Partnerships

Provide a description of low-performing schools in the area where the proposed school intends to be located and explain how the school might partner with those schools to share best practices and innovations.

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### What to Submit:

Submit the response to Requests 15(a-b) as a Microsoft Word® file named: **R-15 - District Relations.**

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## APPLICATION REQUESTS

### 16. Facility

Locating a suitable school facility is a critical and significant task. The Institute encourages all applicants to consult the following resources as you develop your responses to each portion of Request 16:

- [NYSED'S Facilities Planning Website](#)
- [The Institute's Facilities Planning Webpage and Reporting Guidance](#)
- [NYC Charter Center's Guide to the Facility Access Process for Co-location and Private Space](#) (for NYC applicant groups)

#### a. Facility Needs

Describe the facility needs of the proposed school for each year of the charter term 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 including overnight staffing, and include specific and detailed information regarding the number of residence rooms, configuration, restrooms, food service, and other facility-related needs.

#### b. Facility Selection

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

- If the applicants have identified a facility, a description of the facility and how it meets the school's needs including its location and whether it is new construction, part of an existing public or private school building, or must be renovated for use;
- How the proposed facility will be able to meet NYSED (outside of NYC), or New York City Department of Buildings School Use (sometimes denoted as use "G"), and state sanitary specifications by the commencement of the first year of operation;

## APPLICATION REQUESTS

- 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 the 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 the applicant has identified a facility, include certification from an architect that the proposed facility meets NYSED or NYC specifications, as applicable, by the date the school would commence instruction and the cost of bringing the facility into compliance with the specifications. These costs must be accounted for in the proposed startup budget.***

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### What to Submit:

- Submit the response to Request 16(a-c) as a Microsoft Word® file named: **R-16ac - Facilities.**

## APPLICATION REQUESTS

- Attach supporting documents as Microsoft Word® or Adobe Acrobat® files named: **R-16d - Facility Documents.**
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### 17. Food Services

Describe the plans for food services the school will provide. Indicate if the school will participate in the Federal school lunch and/or breakfast program. While food service plans are at the discretion of the school, please note that many school districts allow charter schools to participate in district food service contracts or programs.

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#### What to Submit:

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

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### 18. Health Services

Describe the plans for health services the school will provide including provision for a school nurse, medical space and equipment, procedures for proper collection and storage of immunization and medical records, immunization records checks, and procedures for provision of medication to students who require it within applicable law. Applicants may wish to refer to [NYSED's School Health Services information](#) in developing this response.

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#### What to Submit:

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

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## APPLICATION REQUESTS

### 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 that does not align with district options including days when the proposed school would be in session but the district schools would not be in session. This response should also include discussion of how the school would communicate the requirement that parents of students seeking transportation services must submit a written request no later than April 1<sup>st</sup> to the school district in which they reside, including how this would be ensured in light of the identified admissions lottery date from Response 5.

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#### What to Submit:

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

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### 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, personal injury, and any school-owned or leased vehicles or other property. Please include the costs for annual premiums in the proposal budget(s).

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#### What to Submit:

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

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### 21. Fiscal Soundness

#### a. Budget Narrative

Discuss in narrative form how the startup budget plan, the first-year operational budget and cash flow, and the five-year budget plans are fiscally sound and that sufficient startup 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

## APPLICATION REQUESTS

streams, and explain how the budgets support the implementation of the academic program described in the proposal.

Due to ongoing uncertainty of economic conditions and enrollment pattern shifts, the Institute encourages applicants to consider multiple revenue sources, prepare for revenue receipt timing issues, and incorporate backstop strategies. Discussion of these and any other safeguards should be included in this response.

***NOTE: Schools that include at-risk designations, “preferences,” or set-asides in their admissions policies (with the exception of one extra weight in the lottery) may not be eligible for federal CSP grant funding. Additional information on [funding opportunities](#) is available on NYSED’s website. IMPORTANT: Timing delays of start-up funds can cause significant obstacles for new charters. Recent CSP grant awards have experienced significant delays in the flow of payments to approved charter recipients. As a precaution, SUNY advises new charter applicants to take steps that include proactive planning of financial backstop measures to ensure financial stability.***

### 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. Applicants should refer to and incorporate elements of the [Institute’s Closure Plan](#), in developing this response.

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

## APPLICATION REQUESTS

### e. Budget Template

Complete the 2024 RFP Budget Template which can be downloaded from [our resource page](#).

Newly formed applicant groups should submit one budget for each proposed school. Applicant groups that currently operate one or more SUNY authorized charter school(s) and are applying for authority to operate additional SUNY authorized charter schools must submit two five year budget templates, one for the new proposed school, and one for the overall education corporation should the new school(s) be approved.

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.

***NOTE: The Institute updates the budget template as changes are made to per-pupil aid funding rates. Please ensure that the application submitted includes the most current template and contact the Institute with any questions or concerns.***

***NOTE: As a financial safeguard, the Institute requires any CSP grant award funds be conservatively budgeted at a maximum of \$500,000.***

### f. Letters of Commitment

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

### g. Non-SUNY Financials

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

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

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

## APPLICATION REQUESTS

***NOTE: This Request seeks charter-level information about individual charters. Applicants seeking to replicate 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 in Appendix C. If information responsive to this Request is contained in a Business Plan, reference the Business Plan in this Response.***

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### Note for Replicators:

- SUNY authorized charter schools applying for the authority to operate one or more additional SUNY authorized charter schools must submit two five-year budgets for response 21-e: one budget reflecting only the new proposed school, and one budget reflecting the five year projected budget for the entire education corporation should the new school(s) be approved.

### 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.**

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## 22. Action Plan

Provide a detailed action plan outlining the steps the founding group will undertake to ensure a successful startup. 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 securing a facility inclusive of any necessary construction; hiring personnel; setting up organizational, legal, and financial structures; securing funding; and, selecting or developing critical aspects of the school's academic program including the curriculum;
- The start date and projected completion date of each task; and,

## APPLICATION REQUESTS

- The person(s) responsible for each task.

The Institute encourages applicants to take into account potential challenges (e.g., procurement delays, availability of materials, etc.) in the development of the action plan.

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### What to Submit:

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

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## SUPPLEMENTAL INFORMATION

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### 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 (a) above. If no supplemental documents are necessary, please indicate that this Request is not applicable.

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#### 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

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

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#### **What to Submit:**

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

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### STRATEGIC GROWTH PLAN NARRATIVE

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Applicant groups who operate an existing SUNY authorized charter school or schools and are applying for authority to operate one or more additional SUNY authorized schools, *and who are not otherwise required to submit a Business Plan*, must provide a Strategic Growth Plan Narrative. The narrative response should not exceed 30 pages, though applicant groups are welcome to submit additional exhibits to support the narrative. **Strategic Growth Plan Narratives are only used for Institute analysis.**

In the response, applicants should provide an overall narrative explaining how the organization is preparing systems and structures to support growth such that all schools in the education corporation, including proposed new ones, can operate in an academically, fiscally, and operationally sound manner. Specifically, this must include:

- A description of the education corporation's greenlighting process to determine preparedness to apply to open additional schools;
- Discussion of how the education corporation assesses need and demand and analyzes community demographic trends to identify a proposed location that is likely to support the proposed enrollment for both the new proposed school as well as maintain enrollment at existing schools;
- Chart(s) demonstrating the proposed enrollment growth pattern across the entire education corporation for 5 years if the new school(s) were to be approved;
- A description of how student pathways through grade levels would be implemented across the education corporation if the new school(s) were to be approved;
- A reflection on the existing education corporation's successes and challenges in meeting requirements for hiring certified teachers as required by the Act, and what existing or new systems and supports would be in place to support ongoing compliance with this requirement;
- An analysis of opportunities and potential challenges in staffing an additional location, including discussion of strategies to support a robust talent pipeline for teachers as well as instructional and operational leaders;

## APPLICATION REQUESTS

- A description of what services would be shared across schools in the ed corp, including a shared services team if applicable, including what shared services would be applicable, who would be responsible for providing them, how the organization would provide development and planning to support these shared services, and methods by which the effectiveness of shared services would be assessed;
  - A reflection on prior academic performance across existing schools within the education corporation which discusses key strengths and key growth areas, the opportunities and challenges associated with opening more schools as relates to academic performance, and plans to address the identified growth areas;
  - Discussion of how the board’s approach to governance would shift to ensure effective oversight if the new school(s) were approved;
  - Discussion of any key efficiencies the education corporation believes it would realize if the new schools were to be approved; and,
  - Discussion of any key challenges the education corporation has identified related to replication, and what steps will be taken to address those potential challenges if the new schools were to be approved.
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***NOTE: In addition to the Strategic Growth Plan Narrative, applicant groups that currently operate one or more SUNY authorized charter school(s) and are applying for authority to operate additional SUNY authorized charter schools must also submit two five year budget templates in Response 21e, one for the new proposed school, and one for the overall education corporation should the new school(s) be approved.***

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### **What to Submit:**

Submit the response, not exceeding 30 pages, to Strategic Growth Plan Narrative as a Microsoft Word® or Adobe Acrobat® file named: **Strategic Growth Plan Narrative.**

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# Appendices

**Appendix A** Charter School Applicant Eligibility Information for Federal Charter School Program (“CSP”) Grants

**Appendix B** Assurances Regarding Special Education, Fiscal Audits, and Dissolution

**Appendix C** Business Plan Requirements

## APPENDIX A: CHARTER SCHOOL APPLICANT ELIGIBILITY INFORMATION FOR FEDERAL CHARTER SCHOOL PROGRAM (“CSP”) GRANTS

### CHARTER SCHOOL APPLICANT ELIGIBILITY INFORMATION FOR FEDERAL CSP GRANTS

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***NOTE: NYSED independently administers CSP grants and provides information on [funding and finance opportunities](#) on its website. The following is provided for informational purposes only. CSP grants are awarded from New York State’s 2018 \$95.5 million federal CSP grant award. CSP funding in any amount is not guaranteed and is contingent upon availability of funds.***

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 planning year and first two years of operation. NYSED is the sole administrator of the CSP grant in New York State; however, grant funds are available to all applicants, regardless of the 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 be eligible to apply for 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 one of the following subgroups: ELLs, 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 [newyorkcharters.org/applications-admissions-materials/](http://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.

- **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.

## STANDARD CSP GRANT AND SUPPLEMENTAL FUNDING

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*Timing delays of start-up funds can cause significant obstacles for new charters. Recent CSP grant awardees have experienced significant delays in receipt of payments. As a precaution, SUNY advises new charter applicants take steps that include proactive planning of financial backstop measures to ensure financial stability. Because CSP grant funding in any amount is not guaranteed, SUNY encourages any CSP grant award funds to be conservatively budgeted at no more than \$500,000.*

Applicants potentially qualify for two types of CSP grants:

### Standard CSP Grant

The standard grant award is \$1,000,000, which is distributed over three years. SUNY encourages any CSP grant award funds included in the proposed budget to be conservatively budgeted at no more than \$500,000. Applicants should also 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 \$1,000,000, they could qualify for a one-time supplemental funding of up to \$250,000.

***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

Currently, the two supplemental CSP grant priorities are:

- 1. Underserved student populations priority (supplemental funding of \$125,000).** NYSED will provide up to \$125,000 in 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.

## APPENDIX B: ASSURANCES REGARDING SPECIAL EDUCATION, FISCAL AUDITS, AND DISSOLUTION

2. **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 three 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.
- **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:**<sup>18</sup>
  - **Replicating a single K-8 school.** The replicating school has achieved a 0.3 effect size<sup>19</sup> 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 on the Institute's website at: [newyorkcharters.org/suny-renewal-benchmarks/](https://newyorkcharters.org/suny-renewal-benchmarks/).

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<sup>18</sup> 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.

<sup>19</sup> 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 B: ASSURANCES REGARDING SPECIAL EDUCATION, FISCAL AUDITS, AND DISSOLUTION

- **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 second year of a cohort (typically the 10<sup>th</sup> grade) have passed three or more Regents examinations in two of the three previous school years for which data are available;
  - At least 75% of the students in the most recent graduation cohort must have graduated by the end of their 4<sup>th</sup> year in the cohort; and,
  - The school must have procedures and systems in place to assist students in gaining admittance into college, track the matriculation of students into college,<sup>20</sup> and support students as they transition to college.<sup>21</sup> 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 indicate 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 paperwork to NYSED for finalization of the charter and in relation to processing CSP paperwork.

- **Replicating as part of a network of schools:**<sup>22</sup> 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 are available.

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<sup>20</sup> 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.

<sup>21</sup> 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.

<sup>22</sup> 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.

## APPENDIX B: ASSURANCES REGARDING SPECIAL EDUCATION, FISCAL AUDITS, AND DISSOLUTION

### ASSURANCES REGARDING SPECIAL EDUCATION

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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 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 REGARDING SPECIAL EDUCATION, FISCAL AUDITS, AND DISSOLUTION

- 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.

## APPENDIX B: ASSURANCES REGARDING SPECIAL EDUCATION, FISCAL AUDITS, AND DISSOLUTION

### ASSURANCES REGARDING THE PROVISION OF FISCAL AUDITS AND DISSOLUTION

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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 audit 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 startup 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 REGARDING SPECIAL EDUCATION, FISCAL AUDITS, AND DISSOLUTION

- 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 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 the legal, final audit, and other wind-down 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.

### INTRODUCTION

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#### **Who Must Submit a Business Plan?**

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 (e.g., a CMO), organizational structure (e.g. managing several key functions such as finance, HR, operations, marketing, etc.), or other programming support (e.g. a partner organization that will supply wraparound and afterschool services) must submit a Business Plan completed by the organization in conjunction with the proposal. Note that engaging with a service provider around a specific discrete operational need such as an organization that provides contracted finance management services does not necessarily require submission of a Business Plan.

Notwithstanding the above, 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). If you are uncertain about whether you must include a Business Plan, contact [charter.newapp@suny.edu](mailto:charter.newapp@suny.edu).

**Note:** Business Plan submissions are used only for purposes of Institute analysis.

#### **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 and submit them as a complete, single Adobe Acrobat® file. Please ensure all individual files and sections, both narrative and attachments, 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, and all sections require narrative responses. **All narrative responses should be combined and submitted as a single MS Word or Adobe Acrobat file.** Sections II, V, VI, VIII, and IX also require submission of associated attachments, which are submitted individually in Epicenter.

In addition, applicants must combine all documents from the Business Plan into a single Adobe Acrobat file and submit this as well. Applicants must submit the Business Plan materials electronically via Epicenter, the Institute's document management system.

### BUSINESS PLAN SUBMISSIONS CHECKLIST

#### Section I. Business Plan Respondent Information

<input type="checkbox"/>	BPA S01 - Narrative	MS Word® or Adobe Acrobat®
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#### Section II. Mission, Vision, and Growth Plan Attachments

<input type="checkbox"/>	BPA S02 - Narrative	MS Word® or Adobe Acrobat®
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<input type="checkbox"/>	BPA S02a - Current and Planned Schools	MS Word® or MS Excel®
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<input type="checkbox"/>	BPA S02b – Demographics Data	MS Word® or MS Excel®
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#### Section III. Prior and Current Academic Performance

<input type="checkbox"/>	BPA S03 – Narrative	MS Word® or Adobe Acrobat®
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<input type="checkbox"/>	BPA S03a - School Performance Data	MS Word® or MS Excel®
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#### Section IV. Market Analysis

<input type="checkbox"/>	BPA S04 – Narrative	MS Word® or Adobe Acrobat®
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#### Section V. Organizational Leadership and Governance

<input type="checkbox"/>	BPA S05 – Narrative	MS Word® or Adobe Acrobat®
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<input type="checkbox"/>	BPA S05a – Leadership Capacity	MS Word® or Adobe Acrobat®
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<input type="checkbox"/>	BPA S05b - Board Capacity	MS Word® or Adobe Acrobat®
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<input type="checkbox"/>	BPA S05c - Disclosures	MS Word® or Adobe Acrobat®
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<input type="checkbox"/>	BPA S05d – Certificate of Incorporation	MS Word® or Adobe Acrobat®
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## APPENDIX C: BUSINESS PLAN REQUIREMENTS

### BUSINESS PLAN SUBMISSIONS CHECKLIST

#### Section VI. Organizational Structure and Management

- |                          |                                  |                            |
|--------------------------|----------------------------------|----------------------------|
| <input type="checkbox"/> | BPA S06 – Narrative              | MS Word® or Adobe Acrobat® |
| <input type="checkbox"/> | BPA S06a - Organizational Charts | MS Word® or Adobe Acrobat® |

#### Section VII. Human Capital

- |                          |                     |                            |
|--------------------------|---------------------|----------------------------|
| <input type="checkbox"/> | BPA S07 – Narrative | MS Word® or Adobe Acrobat® |
|--------------------------|---------------------|----------------------------|

#### Section VIII. Financial Plan and Financial Capacity

- |                          |   |                            |
|--------------------------|---|----------------------------|
| <input type="checkbox"/> | BPA S08 - Narrative                       | MS Word® or Adobe Acrobat® |
| <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 - Forms 990                      | MS Word® or Adobe Acrobat® |

#### Section IX. Organizational Background Attachments

- |                          |                                  |                            |
|--------------------------|----------------------------------|----------------------------|
| <input type="checkbox"/> | BPA S09 – Narrative              | MS Word® or Adobe Acrobat® |
| <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® |

#### Section X. Fully Merged Business Plan

- |                          |  |                |
|--------------------------|--|----------------|
| <input type="checkbox"/> | BPA S10 - Business Plan – [Name of Organization] Fully Merged Document | Adobe Acrobat® |
|--------------------------|--|----------------|

### SECTION I. BUSINESS PLAN RESPONDENT INFORMATION

For this document, "organization" refers to the entity that is the focus of this Business Plan, i.e. the partner organization, CMO, network, etc.

#### SECTION I. NARRATIVE RESPONSES:

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Include the following information about the organization completing this Business Plan:

- Organization name;
- Organization's role in managing the proposed school describing specific services to be provided;
- 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:

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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 opening new schools, and an assessment of the risks associated with growth.

#### SECTION II. NARRATIVE RESPONSE REQUESTS:

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- Describe the organization's mission, strategic vision, and desired impact on the proposed communities to be served (i.e. what is the organization working to achieve and for whom).
- Explain how the organization developed the proposed five-year growth plan. Include discussion of how the organization determined the pace and scope of the proposed growth and how the organization assessed its capacity to implement the growth plan.
- Identify the key opportunities associated with the growth plan. Describe any organizational efficiencies that may be gained, potential increases to impact, or other advantages the organization anticipates being able to realize if the proposed school(s) were to be approved.
- Identify the key risks associated with the growth plan and describe the steps the organization may take to mitigate these risks. The response should demonstrate an understanding of the challenges of replication both in general and related specifically to their organization.
- 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 new school(s).

#### SECTION II. ATTACHMENTS:

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

Provide a table or spreadsheet that lists and provides information about all existing and proposed or planned schools in the organization's portfolio that currently exist or that are planned over the next five years. This should include schools that are authorized but not yet open, as well as any schools the organization plans to apply for authorization of, even if applications have not yet been submitted to the relevant authorizing body. The table should include the following information, with actual information for existing schools, and planned/proposed information for schools that are not yet authorized:

## APPENDIX C: BUSINESS PLAN REQUIREMENTS

- Indicate if the school is directly operated by the organization or if the organization provides services to the school by contract;
- Grades served (or proposed grades served)
- Chartered enrollment (or proposed chartered enrollment)
- Year opened or year proposed to open;
- Location or proposed location; and,
- Authorizer or proposed authorizer.

Please provide a separate explanation for any known or anticipated growth in the number of schools beyond five years.

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

Provide a second table or an additional spreadsheet tab (or tabs) with the following information for every operating school in the organization's portfolio:

- Most recent verified actual total student enrollment and total student enrollment at the beginning and end of the school year for the last three school years, reported for all students, and also disaggregated for the following subgroups:
  - Students with disabilities;
  - English language learners;
  - 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).

### SECTION III. PRIOR AND CURRENT ACADEMIC PERFORMANCE

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

#### SECTION III. NARRATIVE RESPONSE REQUESTS:

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- Provide an overview of prior academic performance and student outcomes across all schools ever operated by 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. Describe 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. Explain the organization's assessment of the conditions that have led to that school's success and any efforts underway to transfer effective practices from that school to others.
- Select one or more of the organization's schools whose performance is relatively low or not satisfactory and discuss the school's academic performance. Explain the organization's assessment of conditions that have led to that school's underperformance and any efforts underway to improve outcomes.
- Discuss current efforts the organization is taking to scale and build on performance strengths, as well as to mitigate critical performance weaknesses.

#### SECTION III. ATTACHMENTS:

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**a. Performance Data (Filename: BPA S03a - School Performance Data)**

Provide a spreadsheet or tables with the following information for every operating school in the organization's portfolio:

- Existing school performance for elementary and middle school grades: for the last three years, provide a summary of state assessment results in English language arts, mathematics, science, and social studies (both aggregated and disaggregated by grade level) and/or given disruptions to state exams due to COVID, applicants may also submit results of other nationally normed exams such as NWEA MAP, iReady, etc. to demonstrate performance of existing schools.

## APPENDIX C: BUSINESS PLAN REQUIREMENTS

- Existing school performance for high school grades: for the last three years, provide a summary of four year graduation rates and results for any available summative assessments demonstrating post-secondary readiness, e.g., AP, IB, SAT, statewide exit exams, etc.
- Comparable state assessment and high school graduation results for the district in which each school is located, as available.

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### SECTION IV. MARKET ANALYSIS

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

#### SECTION IV. MARKET ANALYSIS:

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- Describe the organization's target communities in New York State and elsewhere and explain how the organization identifies areas for potential growth/selects target markets.
- If the existing portfolio does not include schools in New York, discuss the rationale for entering New York.
- Discuss the organization's understanding of opportunities and potential challenges in recruiting students in the target market.
- Discuss the organization's understanding of opportunities and potential challenges in recruiting staff and leadership in the target market.

#### SECTION IV. ATTACHMENTS:

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None

### SECTION V. ORGANIZATIONAL LEADERSHIP AND GOVERNANCE

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

#### SECTION V. ORGANIZATIONAL LEADERSHIP AND GOVERNANCE:

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- Identify the organization's leadership team and describe each member's specific roles and responsibilities. Describe critical experiences that demonstrate that this team has the collective capacity to implement the growth plan and operate academically and operationally successful schools.
- Identify the organization's board of directors or trustees (the "board") and, describe the responsibilities of the board for oversight of the organization.
- Discuss the capacity of the board to govern and ensure its obligations (contractual and non-contractual) to the proposed school 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.
- Describe any proposed staffing of centralized services that would serve the schools, as well as anticipated growth or change in staffing over the next five years to support growth described elsewhere in the Business Plan.
- Discuss the organization's "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.

#### SECTION V. ATTACHMENTS:

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

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

## APPENDIX C: BUSINESS PLAN REQUIREMENTS

**b. 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.

**c. 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.

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

Include the organization's charter (if a NY-based non-SUNY authorized education corporation) or certificate of incorporation together with amendments to date.

### SECTION VI. ORGANIZATIONAL STRUCTURE AND MANAGEMENT

This section highlights the role of the organization in relation to the services, facilities, and/or goods it will provide to schools, as well as the management and oversight of the schools.

#### SECTION VI. ORGANIZATIONAL STRUCTURE AND MANAGEMENT:

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- Provide a detailed description of the organizational structure.
- 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 (or substantially similar organization), then describe which centralized services the partner 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;

## APPENDIX C: 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 school design elements that may vary from school to school.
  - Describe the organization's approach to school 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 school underperformance.
  - 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:

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#### **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.

### SECTION VII. HUMAN CAPITAL

In this section, the Institute 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:

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- 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 highly qualified candidates for all positions.
- 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 possible incentives such as bonuses or merit pay. Compare the proposed salary ranges to other organizations, charter schools, and local districts, as applicable.

#### SECTION VII. ATTACHMENTS:

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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.

#### SECTION VIII. FINANCIAL PLAN AND FINANCIAL CAPACITY:

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- Provide a high-level summary of the budgets, and descriptions of all major budget assumptions. The narrative should address contingency plans if 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 dedicated to development. The plan should include a history of the organization's fundraising outcomes and identify committed funds 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 indicate this in your response.
- Describe the responsibilities of school, education corporation and the organization in the financial management and oversight of the proposed school(s) including, but not limited to, their respective roles in overseeing or implementing internal controls and in making financial management decisions including budget development. Describe the organization's strategy for securing, financing, and maintaining school facilities in the short and long-term including, 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 the entity's relationship to both the school and the organization. If the proposed school's education corporation will bear costs related to the facility, the response should identify the level of capital support the organization (or related party) is willing to provide to the education corporation.

#### SECTION VIII. ATTACHMENTS:

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

Provide a five-year financial model detailing financial projections to support the organization's growth plan. Applicants must prepare a five-year budget using the Institute's budget template from the RFP. The model should include the following:

## APPENDIX C: BUSINESS PLAN REQUIREMENTS

- A consolidated budget summary for the organization, including any affiliated entities (real estate and/or equipment leasing entities), and the education corporations or school(s) in its portfolio (including the school(s) proposed in this application and Business Plan).
- 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 functions and personnel costs associated with network (non-school) level only. The organization should use conservative and realistic revenue growth assumptions planning the five year budget. 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; 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, provide commitment letters from the top five contributors. Note, letters should include a statement that the contributor plans to continue the relationship with the organization. Specifically note any restrictions on the funds.

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

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

## APPENDIX C: BUSINESS PLAN REQUIREMENTS

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

Provide copies of 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 currently managed by the organization. This should include any charter school audited financial statements for schools outside of New York State.

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

Provide copies of 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 currently managed by the organization.

### SECTION IX. ORGANIZATIONAL BACKGROUND

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

#### SECTION IX. ORGANIZATIONAL BACKGROUND:

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

#### SECTION IX ATTACHMENTS:

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**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, and any related entities, and any non-SUNY authorized charter schools it operates.

**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.

### SECTION X. FULLY MERGED BUSINESS PLAN

Provide a single MS Word® or Adobe Acrobat® file which contains all responses and attachments merged together.

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