



New York State Education Department

2017 Request for Proposals (RFP) and Charter School Application Kit

*For Applicant Groups to Establish New Charter Schools and
For Education Corporations Seeking to Operate Additional Schools*

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INTRODUCTION

Legislative History

In 1998, the New York State Legislature established the opportunity for the creation of new, performance-based public schools, including conversions¹ of existing traditional public schools, through the charter process. In May of 2010, the State Legislature increased the number of charter schools that may be authorized under the law, created a clear pathway for existing education corporations to operate multiple charter schools, and required charter entities to solicit new charter school applications through a competitive Request for Proposals process. Additional changes to the Charter Schools Act were made in 2014, 2015, and 2016.

Accordingly, the Department has updated the *Request for Proposals (RFP) to Establish New York State Charter Schools Authorized by the Board of Regents* for the 2017 application cycle. The RFP and Application Kit contain information about the charter process and provide the evaluation criteria or “prompts” for applicant groups to address when constructing applications for new public charter schools in New York State.

While the RFP and Application Kit reference the New York State Charter Schools Act² (the Act) and other relevant statutory citations, it is not a guide to charter school law and other laws that govern the operation of public charter schools. It is the sole responsibility of the applicant to fully understand and address the requirements of all relevant laws and to present a coherent and viable school design that both complies with the laws and is likely to improve student learning and achievement in New York State.

CHARTER SCHOOL FACTS AND TERMS

Tuition-Free Public Schools

Charter schools are secular, tuition-free public schools that operate as independent education corporations. New York’s charter school legislation offers students, families, and educators more choices in public education; allows schools autonomy and flexibility in how they operate; and requires performance-based accountability standards.

Authorizers

Charter schools are created by application to a designated charter entity (also known as a charter school authorizer). The Board of Regents of The University of the State of New York (Board of Regents) is a designated charter entity under state law. The Board of Regents has directed the Commissioner of Education and the New York State Education Department (NYSED) to develop and issue this RFP, to conduct an application review process on its behalf, and to recommend action on charter school applications.

¹ N.Y. Education Law §2851(3)(c)

² N.Y. Education Law Article 56

Board of Regents Authorized Charter Schools

As of 2016-17, there are 256 charter schools, serving approximately 120,000 students, in operation across New York State. The Board of Regents authorizes 81 charter schools across New York State:

- 54 charter schools in New York City, Westchester, and Long Island - Manhattan (11); Brooklyn (17); Bronx (17); Queens (3); Staten Island (1); Hempstead (1); Mount Vernon (1); Newburgh (1); Riverhead (1); and Yonkers (1);
- 7 charter schools in the Capital District and Central New York - Albany (2); Syracuse (4); and Utica (1); and,
- 20 charter schools in Western New York – Buffalo (8); Greece (2); Kenmore-Tonawanda (1); Lackawanna (1); Niagara-Wheatfield (1); and Rochester (7).

All Board of Regents-authorized charter schools seek to increase learning opportunities for all students, with special emphasis on expanded learning experiences for students who are at-risk of academic failure. Among the diverse portfolio of these schools are those with key design elements that specifically focus on the unique needs of particular student populations: including English language learners; students on the autism spectrum; overaged and under-credited students; and students of a single gender. Many of these schools have a focus on career and technical education (CTE) programs; the arts; the socio-emotional development of students through intensive coaching or community development; environmental/ecology programs; and intensive foreign language instruction.

The expectation for all Board of Regents-authorized charter schools, whether they are network schools, independent schools, or somewhere in between, is a strong demonstrated commitment to fostering high quality academic options for all students, including English language learners, students with disabilities, and economically disadvantaged students.

Applicant Group

Education Law §2851(1) states, “an application to establish a charter school may be submitted by teachers, parents, school administrators, community residents or any combination thereof.” An application for a new charter school must be submitted by one or more teachers, parents, school administrators, community residents or any combination thereof to form the “applicant group.” The applicant group includes those who are actively participating in the planning of the application; those individuals who will comprise the initial board of trustees; and those individuals (if known) who will become school employees.

Organizations and entities cannot serve as applicants for charter school education corporations, though, if eligible, not-for-profit entities with federal tax-exempt status under Internal Revenue Code §501(c)(3), museums, colleges, universities, and educational institutions can submit a proposal in conjunction with eligible applicants. Applications with community-based organizational partnerships are encouraged.

Key Design Elements

Key design elements are those general aspects of the school that are innovative or unique to the school's mission and goals, are core to the school's overall design, and are critical to its success. Specifically, the proposal should describe elements of the school's educational or organizational design that are innovative or unique to the school's mission and goals and are core to the school's overall design. The design elements may include a specific content area focus; unique student populations to be served; specific educational programs or pedagogical approaches; unique calendar, schedule, or configurations of students and staff; and/or innovative organizational structures and systems. The Act allows, to the extent consistent with Federal Law, the establishment of a single-sex charter school or a charter school designed to provide expanded learning opportunities for students at-risk of academic failure or students with disabilities and English language learners."³

Governance

Charter schools are overseen by a governing board of trustees that provides oversight of the school management. High performing charter schools are characteristically governed by a board with a mixture of backgrounds and expertise relevant to a public, not-for-profit educational organization. Such experience optimally includes teaching, administration, legal expertise, real estate and facilities, financial management and accounting, fundraising and development, community engagement, family involvement, and charter school experience.

Autonomy

Charter schools operate with substantial autonomy and flexibility in comparison to traditional public schools in exchange for increased accountability. Charter school operators have the opportunity and responsibility to decide the best ways to allocate resources, such as time, people, and money, to best meet the needs of their students within the bounds of the Act, and are free of some of the legal and regulatory constraints that apply to other public schools.

Accountability: Charter School Performance Framework

Performance-based accountability is a central component of charter school policy in New York State. The Act requires that schools have clear, measurable academic performance standards under which they will operate and be evaluated. In addition, schools must be financially accountable and comply with the same health and safety, federal special education laws, civil rights, and student assessment requirements applicable to other public schools.

In November 2012, the Board of Regents endorsed the use of a Charter School Performance Framework for Regents-authorized charter schools. The Framework, which is organized into three broad performance areas—Educational Success, Organizational Soundness, and Faithfulness to the Charter and Law—outlines ten key benchmark categories and specific performance indicators for each category. The Department and the Board of Regents use the Performance Framework to evaluate school performance over time and to inform all renewal

³ N. Y. Education Law § 2854(2)(a)

decisions. Although the Framework is a comprehensive lens for charter school performance evaluation, student academic achievement (Benchmark 1: Student Performance) is the most important factor when determining whether to renew or to revoke a charter. All Benchmark 1 growth and achievement measures are based on New York State assessments and/or Regents examinations for all tested subjects at all applicable grade levels. Charter schools are encouraged to refer to the Framework on a continuing basis to align their charter goals and to evaluate the overall health and viability of the school throughout the charter term. All Board of Regents-authorized charter schools will also report on their progress toward meeting the Performance Framework benchmarks in annual reports as well as during formative mid-charter term site visits. Charter schools are encouraged to refer to the [Performance Framework](#) on a continuing basis to align their charter goals and to evaluate the overall health and viability of the school throughout the charter term.

OVERVIEW OF THE APPLICATION PROCESS

The NYSED charter school application process is designed to ensure that all charter school applications presented to the Board of Regents for consideration demonstrate that the applicant groups possess a clear understanding of the New York State Charter Schools Act and what it means to comply with the Act, the applicant groups' proposed schools are clearly aligned with the purpose and objectives of the Act, the applicant groups present a coherent and practical design for the proposed schools, and the applicant groups and the proposed boards of trustees demonstrate the necessary experience, skill, and will to manage the challenging and dynamic process of opening and operating public charter schools.

To assess application quality, NYSED will review and evaluate Letters of Intent and invited Full Applications against the criteria outlined in this RFP. NYSED may conduct a Capacity Interview with members of the applicant group, including the initial proposed board of trustees. In addition, NYSED will invite and consider the comments of the public related specifically to the proposed school. At the conclusion of the process, for eligible applications, NYSED will prepare a formal recommendation to the Board of Regents.

Whether the application is from a new or existing education corporation, all application submissions must address the statutorily required elements to establish new charter schools, as outlined in the 2017 RFP and Application Kit. Any additional requirements are noted throughout the application.

Some applications may not meet the required criteria to advance through the application process. NYSED reserves the right, and sole discretion, to end the review of an application that does not meet the minimum statutory requirements in whole or in part. Such applicants will be considered terminated. Applications that advance to the Capacity Interview stage of the process will be recommended by the Department for approval, not recommended for approval, or will be given the option of withdrawing. The Board of Regents has final decision-making authority for all applications advancing to this stage of the process. Due to the competitive nature of the process, NYSED cannot extend an opportunity to allow applicant groups to address any deficiencies at any stage of the process during a single application cycle. All decisions are final and made at the sole discretion of NYSED and/or the Board of Regents. There is no appeal of an adverse determination at any stage of the process.

Applicant groups may correct any deficiencies and resubmit their application by the due date of a subsequent application round or cycle, as long as they do not have an application under consideration by another NYS charter entity. For a list of common application deficiencies, please refer to [Frequently Asked Questions](#) on the NYSED website and also refer to the list of common application pitfalls at the end of this document.

Public Outreach

N.Y. Education Law Section 2852(9-a)(b)(ii) states that the Board of Regents shall not consider any applications that do not rigorously demonstrate that the applicant has conducted public outreach in conformity with a thorough and meaningful public review process prescribed by the Board of Regents. The public review process should include, but is not limited to, the following components:

1. **Informing the community about the proposed charter school, including the intended location, the target student population, the grades to be served, and a description of the educational program(s) to be offered.** This should include reasonable notice to stakeholders in the community, and may be achieved through a number of means, including but not limited to: community letters and flyers, news and/or web articles, advertisements, community meetings, meetings with stakeholders, and other means employed by the applicant;
2. **Providing stakeholders in the community the opportunity to submit comment on the proposed charter school.** This may be achieved through the means listed above, the provision of an email or website for comment submission, as well as other means employed by the applicant;
3. **At least one public meeting with stakeholders in the community in the school district in which the proposed charter school is to be located.** Reasonable public notice should be provided to community stakeholders; and
4. **Addressing comments received from the impacted community concerning the educational and programmatic needs of students.** This may be achieved through discussions at community and stakeholder meetings, interviews, written responses to written comments received, as well as other means employed by the applicant.

Charter Application Cycles

In the RFP, the Department will provide two opportunities for applicants to submit applications to establish new charter schools to open in 2018. The Department's online portal for submission of application materials will open for the submission of required materials as outlined below and in the **Application Review Process and Timeline** section of the RFP and Application Kit.

2017 Application Cycle⁴

Submission Rounds	LOI Due	Full Application Due	Regents Action
Round 1 Application Cycle	February 15	March 17	June 12-13
Round 2 Application Cycle	July 7	August 18	November 13-14

⁴ This timeline is subject to change at the discretion of NYSED and/or the Board of Regents.

New Charter School Applications or Replication Applications

Applicant groups seeking to establish new charter schools and existing education corporations seeking to replicate an existing, high quality school model may submit a Letter of Intent in either Round 1 or Round 2. Applicant groups whose Letter of Intent is not accepted into the Full Application stage of either Round 1 or Round 2 may begin the process again with the submission of a Letter of Intent in a future round or under a future RFP.

Simultaneous submissions to multiple authorizers are permitted at the Letter of Intent stage only. If an applicant group is invited to submit a full application to the Board of Regents and to the Trustees of the State University of New York, the applicant group must formally withdraw from the process of one authorizer to participate in the process of the authorizer with whom they wish to complete the application process. (Note: Applicant groups may withdraw for this or any other reason at any time prior to a determination by the Board of Regents.)

Formal action by the Board of Regents to approve/reject applications and issue charters will occur in June for Round 1 submissions, and in November for Round 2 submissions.⁵ Applications submitted in either Round 1 or Round 2 must address the requests and criteria set forth in this *2017 RFP and Charter School Application Kit*. Charter schools that are authorized by the Board of Regents in 2017 will open for instruction in the fall of 2018.

Plagiarism

The reproduction of content from other charter applications or sources that require original narrative (e.g., the education plan) will immediately disqualify the application from consideration, evaluation, or advancement for action to the Board of Regents. Accommodation is provided for applications replicating existing charter schools and application sections where boilerplate information is reasonable for inclusion, such as by-laws, discipline policies, etc.

The following provides more detailed explanation of each phase of the application process:

Phase I: Letter of Intent

All applicants—new applicant groups or existing education corporations seeking to replicate—must submit a Letter of Intent. The Letter of Intent is designed to solicit basic school design information about the applicant group, school mission and model, and target population. The Letter of Intent requires applicant groups to address questions that directly align to some, but not all, of the requirements stated in the Act. Applicants invited to the next phase will be required to address all of the requirements stated in the Act in detail in the Full Application.

In the Letter of Intent, the applicant must provide: a brief description of the mission and school design; a description of the proposed student population (including plans to meet enrollment and retention goals for target populations); proposed grade levels and the number of students

⁵ This timeline is subject to change at the discretion of NYSED and/or the Board of Regents.

to be enrolled; initial evidence of community outreach efforts and community support; a proposed location and/or proposed facility; and background information about the applicant group and anticipated members of the board of trustees. The Letter of Intent may not exceed **5 pages, excluding all attachments**, and must be submitted to the NYSED Charter School Office **by 3:00 p.m. EST on the due date specified in the timeline for the applicable RFP cycle**. Please go to Submission Instructions within this RFP for full details, and refer to the Frequently Asked Questions guidance located on the NYSED website for additional information.

NYSED staff will review all submitted Letters of Intent to ensure that each Letter of Intent is complete, provides thorough and robust information, and is likely to address the rigorous standards in the Full Application. Letters of Intent that are incomplete and do not provide all of the requested information and reflect the formatting instructions will not be accepted, and applicant groups will not be invited to submit Full Applications in that round. The information provided in the Letters of Intent will be used by NYSED staff to plan and coordinate peer review panels with appropriate expertise to evaluate Full Applications.

Phase II: Full Application – New or Replicating Charter Schools

All applicants invited to submit an application, whether to establish a new charter school or to replicate an existing school model, are expected to fully address the evaluation criteria that directly align to the requirements and priorities stated in the Charter Schools Act. These applications allow the Department to assess the will, skill, and capacity of the proposed board to launch and sustain a quality public charter school in New York State and demonstrate educational alignment and operational compliance with the requirements and educational priorities of the Act. This information becomes part of the approved charter and sets the conditions under which an education corporation may operate a school.

Applicants must submit the applications by **3:00 p.m. EST on the due date specified on the timeline for the applicable RFP cycle**. The application narrative to establish a charter school may not exceed **75 pages** and the required attachments may not exceed **an additional 75 pages**, with certain exceptions outlined in the attachment information. Upon submission, NYSED staff will screen the Full Applications for compliance with submission requirements. ***Applications that: exceed the established page limits; omit sections; do not follow formatting requirements; plagiarize or duplicate the narrative⁶ from the submission of another applicant group or source; and/or are received after the established deadline will not be evaluated or advanced for action by the Board of Regents.*** Please see Application Submission Instructions and Frequently Asked Questions (FAQ) document for full submission details.

All Letters of Intent and Full Applications will be posted at the NYSED Charter School Office website at [Start A Charter School](#). Personal information will be redacted; however, designated public contact information for each submission will be posted separately.

⁶ This does not apply to replications of existing schools or boilerplate attachments for by-laws, code of ethics, etc.

Application Review and Evaluation. Review panels (referred to as peer reviewers) with expertise in charter school operations, and when appropriate, knowledge that is relevant to the proposed school design, will evaluate Full Applications. Each reviewer will independently evaluate and rate how well the applicant group's responses address the evaluation criteria articulated in each section of the application. Reviewers will rate the response to each criterion as **Meets the Standard, Approaches the Standard, or Does Not Meet the Standard**, as defined in the sample evaluation rubric in Appendix A. The review panelists will develop a summary rating for each application section, as well as for the Full Application as a whole.

Note Regarding Criminal Background Check/Fingerprint Scan. All members of the applicant group will be required to undergo criminal background checks via fingerprint scans. After submission of the Full Application, NYSED will contact the members of the applicant group to arrange for the required fingerprint scans. The result of the background check may be shared with senior managers at the Department and/or the Board of Regents if a concern is noted. **The inability or unwillingness of any member of the applicant group to promptly undergo the required criminal background check via fingerprint scans within the timeframe requested in advance of the Board of Regents meeting shall be grounds for terminating an application or denying a charter recommendation.**

Phase III: Capacity Interview.

Applications that are considered to substantially meet the evaluation criteria will be invited to a Capacity Interview. Applicant groups invited to the Capacity Interview may not meet the criteria to move forward in the application process. NYSED officials conduct the Capacity Interview foremost to assess the capacity of the applicant group to effectively launch and oversee the proposed charter school. NYSED staff use the interview to evaluate the applicant group and initial board members' understanding of academic and operational accountability as well as the characteristics of the community where the proposed school will be located. The interview also provides the applicant group (and specifically the proposed board of trustees) with the opportunity to present and elaborate on the information provided in the Full Application, and respond to any technical questions that may have been generated by peer reviewers during the application review process as well as other questions that may have emerged during the public hearing and comment process. Please see the applicable RFP timeline for the dates during which NYSED will conduct the Capacity Interviews.

Phase IV: NYSED Recommendation for Approval or Denial of the Application. On the basis of the review of the Full Application and Capacity Interview, as well as all information collected by NYSED during a public comment process, NYSED will determine whether to recommend approval of the charter application to the Board of Regents. Applications that do not meet the rigorous standards required by the RFP will not receive a recommendation for Board of Regents approval. An application that is recommended to the Board of Regents for approval will provide a detailed and complete school design plan that:

- Demonstrates the ability to operate the school in an educationally and fiscally sound manner;

- Is likely to improve student learning and achievement and materially further the purposes of the Act;
- Includes clear strategies to meet or exceed enrollment and retention targets for students with disabilities, students who are English language learners, and economically disadvantaged students;
- Provides evidence of public outreach that conforms to the process prescribed by the Regents for the purpose of soliciting and incorporating community input regarding the proposed charter school;
- Meets all requirements set forth in the Charter Schools Act as well as all other applicable laws, rules, and regulations; and
- Would have a significant educational benefit to the students expected to attend the proposed charter school.

In addition to all of the above, the applicant group and proposed board of trustees must demonstrate appropriate knowledge, capacity, and ability to effectively create, maintain, and oversee a high-quality charter school. For applications that meet all of these conditions, NYSED will recommend that the Board of Regents approve the application and issue a charter. In the event that the number of applications meeting the evaluation criteria in this RFP exceeds the total maximum number of charters available or the maximum available within New York City in this RFP cycle, the application will also be reviewed and scored by NYSED on the eight priority objectives set forth in the Charter Schools Act,⁷ as outlined in **Appendix B**, to determine which charters will be recommended.

If recommended for approval, NYSED will provide the applicants and proposed board members with an opportunity to review the terms and conditions of the initial charter agreement (contract) between the proposed school and the Board of Regents, and to sign said agreement. This will occur in preparation for the Board of Regents meeting at which the Regents will act to approve or deny new charters. Please see the applicable RFP timeline for specific dates. **The inability or unwillingness of the proposed board chair to promptly sign the initial charter agreement within the timeframe requested in advance of materials being advanced to the Board of Regents meeting shall be grounds for terminating an application or denying a charter recommendation.**

If the application is not recommended for approval by the Board of Regents, NYSED will provide the applicant group with a summary of the areas in which the application is considered to be deficient. In some cases, the applicant group may be encouraged to address deficiencies discovered during the application review process and re-submit the application in a subsequent application cycle.

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

Phase V: Post Recommendation-Request for Modifications.⁸ For applicant groups that the Department is recommending to the Board of Regents for authorization, the Department may require that applicant groups make technical modifications to their applications following the Capacity Interviews. Such requests would be made to technically align the information contained in the Full Application with the NYSED initial charter agreement template and/or comply with relevant laws and regulations. Please see the applicable RFP timeline for the dates during which NYSED will request modifications and during which applicants will submit responses. Other than modifications of a technical nature as determined by the Department, applicants are not given the opportunity to substantially revise or augment their application once it has been submitted.

Board of Regents Action to Approve or Deny the Application. Although informed by NYSED evaluations and recommendations, all final charter issuance decisions of applications presented to the Regents are made by the Board of Regents. At the Board of Regents meetings in June and November of 2017⁹, the Regents will act to approve or deny charter school applications, and in the case of those approved, issue a provisional charter (i.e., a certificate of incorporation) for the school. In the case of those charter applications that are denied, or terminated by the Department, the decisions are final and may not be appealed.

Withdrawal of Applications: Applications that do not demonstrate a clear plan and compelling capacity to launch and sustain a quality public charter school in New York State will not be recommended to the Board of Regents for approval and will not be permitted to proceed in the application process. Prior to a determination by the Board of Regents, applicants may choose to withdraw an application at any time (i.e., during any phase) for any reason. NYSED has sole discretion in moving applications from phase to phase (e.g., Letter of Intent, Full Application, Capacity Interview) and may stop review of the application at any point in the process. Applicant groups are encouraged to withdraw applications that NYSED will not move forward in the review process and will not recommend to the Board of Regents for approval. There is no penalty for doing so and the decision to withdraw will not affect consideration of subsequent applications. Applicant groups that do not withdraw their application risk having the Board of Regents formally vote to deny the application.

Federal Charter Schools Program (CSP) Planning and Implementation Grant¹⁰: New York's 2011-2016 \$113 million federal Charter School Program (CSP) grant allows new eligible charter schools to apply for a CSP Planning and Implementation sub-grant with a base amount of \$550,000 over a three year period (planning year, implementation year 1, and implementation year 2). NYSED is seeking approval to extend the grant period to support the start-up and implementation of new schools authorized in 2017. More information on the status of CSP funding will be communicated to planning teams throughout the new school process. Consistent with the priorities articulated in New York's CSP grant, NYSED encourages

⁸ N.Y. Education Law § 2852(3)(a)

⁹ This timeline is subject to change at the discretion of NYSED and/or the Board of Regents.

¹⁰ Subject to grant availability.

applications for new charter schools with certain specific key design features that may qualify for enhanced CSP funding of up to \$800,000 total. These would include schools specifically designed to:

- Serve high-need student groups such as students with disabilities, students who are English language learners, students who are over-age, under-credited or at risk of not graduating from high school, and students who are at-risk of academic failure because they would otherwise be served by a low-achieving district school;
- Serve students who live in underserved rural communities;
- Promote racial, ethnic, and linguistic diversity;
- Improve productivity and effectiveness through the use of technologies (including blended instructional programs); and
- Replicate existing high-quality charter school models.

Using the 2017 RFP and Application Kit, all applicants are simultaneously applying for a public school charter and a CSP Grant (assuming such funds are available), as the eligibility requirements of the grant application are integrated into the overall application process for a public school charter. NYSED will further evaluate the applications recommended for charter issuance by the Board of Regents to determine eligibility to receive, based upon the availability of funds, an enhanced federal Charter Schools Program (CSP) Planning and Implementation Grant. See **Appendix C** for full details.

Opening the School for Instruction. The issuance of the charter by the Board of Regents does not indicate final authorization to open the school. The Full Application does **not** require applicants to create all of the documents that the school will need once it becomes operational (e.g. full curriculum or a human resources handbook). During the start-up (or pre-opening) phase of the school, NYSED will work closely with the charter school's proposed board and school leaders to establish key policies and ready the school program and facility to serve students. This work will be guided by the terms of the charter agreement and the [Opening Procedures for New York State Charter Schools Authorized by the Board of Regents](#). New charter schools will be authorized to open for instruction only upon the issuance of a letter of *Consent to Commence Instruction* issued by the Department.

Replication Applications: Among other models, NYSED welcomes applications that propose to replicate existing school models with a strong record of academic, operational, and financial success. Applicant groups that propose to replicate an existing school must complete an application that addresses all of the RFP requests and meets all of the evaluation criteria for a new school proposal. However, rather than submit a completely original plan, replication applications may directly use material from the replicated school's existing charter application, charter agreement, school policy and procedure documents, or other resources to address relevant requests. In the context of a replication application this will not constitute plagiarism and disqualify the application. If applicable, replication applications must explicitly identify and explain any differences from the original school, which may be, for example, as a result of different locations or anticipated student populations. Finally, applicant groups for replication

schools may not rely on past public outreach and must conduct new outreach specific to the proposed new school to ensure the public is fully aware of the new school proposal and has ample opportunity for input.

Applicant groups must also identify all of the school(s) that they plan to replicate and provide an analysis of how the school(s) being replicated provides a high quality academic program to students. NYSED will examine the academic achievement of all existing schools when determining whether to authorize the proposed new school. The examination may include an assessment of whether the existing schools are academically outperforming the district of location and trending towards the state average, and whether the schools enroll comparable numbers of students with disabilities, students who are English language learners, and economically disadvantaged students.

Finally, in addition to addressing the requests and evaluation criteria contained in the 2017 RFP and Application Kit, existing school operators who intend to operate more than one school or propose a school that will be networked with other schools, whether the existing school is in New York State or another state, must also submit a strategic business or growth plan (see **Attachment 6c**). NYSED will use the business plan to assess the applicant group's capacity to govern and manage multiple schools. By making the replication option available, NYSED in no way suggests that applicants attempt to apply for more charter schools than they have the capacity to manage. NYSED will employ rigorous due diligence regarding the fiscal and human capital capacity of the applicant group when considering the award of multiple charters to an existing education corporation.

SUBMISSION INSTRUCTIONS

SUBMISSION INSTRUCTIONS FOR APPLICANT GROUPS	
FORMAT	<p>Both the Letter of Intent and the Full Application must be submitted via upload to the Charter School Office web portal in .PDF format suitable for reproduction on 8 1/2 x11 inch paper showing:</p> <ul style="list-style-type: none"> · one-inch margins · 12-point or larger font size using Times New Roman or Calibri font · page numbers in the bottom right hand corner of each page <p>Full Applications must include a table of contents identifying page numbers for each section and all attachments.</p>
Page Limits	<p>The Letter of Intent is limited to 5 pages of text, excluding all attachments. The Full Application is limited to no more than 75 pages, excluding the Application Summary, Certification and Assurances Statement, and the required attachments. Attachments are limited to 75 pages, with certain exceptions outlined in the attachment information. Brevity, specificity, and clarity are strongly encouraged.</p>
<p>Submit Via Web Portal Only ----- Do Not Submit Via Email, Postal or Special Delivery Mail</p>	<p>All submissions for both the Letter of Intent and Full Application must be submitted via upload to the Charter School Application Submission Portal.</p> <p>Note: The Letter of Intent and Full Application, when submitted to the Department, will be made available to the public.</p> <p>Successful submission of the Letter of Intent and Full Application using the web portal will automatically generate an email to the applicant. If a confirmation email is not received, the applicant should conclude that the submission was <u>not</u> received.</p>
Deadlines	<p>All application materials must be <u>submitted</u> via upload to the Charter School Application Submission Portal by <u>3:00 PM</u> on the specified due date. It may take one hour or longer for all materials to successfully upload via the web portal. Applicants are strongly encouraged to upload and submit all materials the day before the deadline. Materials submitted via email or by postal or special delivery carriers will <u>not</u> be accepted.</p>

**FAILURE TO COMPLY WITH THESE SUBMISSION INSTRUCTIONS
WILL DISQUALIFY THE APPLICATION FROM FURTHER CONSIDERATION**

2017 APPLICATION REVIEW PROCESS AND TIMELINE¹¹

APPLICATION PROCESS	Round 1 Review and Approval Timeline	Round 2 Review and Approval Timeline
<p>Phase I: Letter of Intent Submission is by upload to the Charter School Application Submission Portal. Letters of Intent that do not provide all requested information and meet submission requirements will not be accepted.</p>	<p align="center"><u>Deadline</u> February 15 3:00 p.m.</p>	<p align="center"><u>Deadline</u> July 7 3:00 p.m.</p>
<p>Phase II: Full Application Submission is by upload to the Charter School Application Submission Portal. Each Full Application submitted must adhere to page and formatting limitations and must be uploaded before 3:00 p.m. EST. The Certification and Assurances Statement must include the electronic signature of a designated member of the applicant group.</p>	<p align="center"><u>Deadline</u> March 17 3:00 p.m.</p>	<p align="center"><u>Deadline</u> August 18 3:00 p.m.</p>
<p>Public Hearings Public hearings on charter school applications must be conducted by the districts of location within 30 days of notification of receipt of an application by the NYSED Charter School Office.</p>	<p align="center">April – May</p>	<p align="center">August – October</p>
<p>Panel Review of Full Application The Full Application will be screened by NYSED for completeness before being accepted and sent for full evaluation by review panels. <i>(Incomplete applications will not be accepted).</i></p>	<p align="center">April</p>	<p align="center">August – September</p>
<p>Background Checks via Fingerprint Scans NYSED will contact the applicant group members to arrange for the required fingerprint scans. All members of the applicant group must be available to undergo a fingerprint scan.</p>	<p align="center">April</p>	<p align="center">September – October</p>
<p>Phase III: Capacity Interviews NYSED conducts interviews with invited applicant groups and proposed boards of trustees.</p>	<p align="center">May 3 – May 12</p>	<p align="center">September 26 – October 6</p>
<p>Phase IV: Request for Modifications Following the capacity interviews, NYSED may request that applicant groups/proposed boards make technical modifications to charter applications.</p>	<p align="center">May</p>	<p align="center">October</p>

¹¹ This timeline is subject to change at the discretion of NYSED and/or the Board of Regents.

APPLICATION PROCESS	Round 1 Review and Approval Timeline	Round 2 Review and Approval Timeline
<p>Charter Agreement Calls NYSED and the proposed boards of the charter schools recommended for Board of Regents approval preview/discuss the terms and conditions of the proposed charter agreement with the Board of Regents.</p>	June	November – December
<p>Board of Regents Action The Board of Regents will review recommendations from staff and vote to approve or deny the application at its regularly scheduled meeting. Only those applicant groups whose applications are approved by the Board of Regents will be issued a charter. Prior to action by the Board of Regents, applicant groups will be informed of the department’s recommendation. This timeline is subject to change at the discretion of NYSED and/or the Board of Regents.</p>	June 12 – 13	November 13 – 14
<p>Reviewer Feedback to Applicants NYSED prepares written recommendations to the Board of Regents and provides applicants not recommended for Board of Regents approval with comments and summative feedback from reviewers.</p>	After Regents Action	After Regents Action

The remainder of this Application Kit is dedicated to the specific steps and requirements that charter school applicant groups and existing operators must address to submit an application to establish a charter school to the Board of Regents for consideration. All necessary forms, requirements, and deadlines related to the initial application process are contained within this Application Kit. Local school districts or applicant groups interested in converting an existing public school into a charter school should contact the **NYSED Charter School Office at (518) 474-1762**.

Please note: *The Board of Regents will only approve applications that clearly demonstrate a strong capacity for establishing and operating a high-quality charter school. This standard requires a sound educational program, organizational plan, and financial plan, as well as a strong governing board capacity to implement the proposal effectively and in compliance with state and federal laws. The Department and staff look forward to reviewing your proposal to launch a new, high-quality, public charter school in New York State.*

LETTER OF INTENT TO APPLY

All applicant groups seeking to establish a charter school authorized by the Board of Regents to open in 2018 must submit a Letter of Intent, not to exceed 5 pages in length (excluding any summary pages and attachments) by the due date specified for the selected 2017 RFP round. All Letters of Intent are reviewed by Department staff to assess whether the required information is complete and indicates the applicant group is likely to meet the rigorous standards required in the Full Application. A Letter of Intent that does not thoroughly address all of the information requested below will not be moved forward in the application process and the applicant group will not be invited to submit a Full Application during that application cycle.

- I. **Applicant Group Information¹²:** Identify and present background information pertaining to the applicant group.
 - a. **Applicant Group Members:** Using **Table 1**, provide the name, contact information, current employment, the current or prospective role, and the relevant experience, skills, and/or qualifications in the proposed school for all members of the applicant group, which includes the initial proposed board of trustees and any known proposed school employees.
 - b. **Public Contact:** Please provide a phone number and/or email address to which public inquiries about the proposed charter school may be addressed. This contact information will be public and available on the NYSED Charter School Office website.
 - c. **Application History:** Identify whether any member of the current applicant group has ever applied to this or another charter entity to open this proposed school or another charter school, either in New York State or outside of New York State. Indicate the date on which the application(s) was/were submitted and to which charter entity; briefly describe the outcome of the charter entity's decision; and provide a concise description of significant modifications made in this application (if applicable).

Required Attachments:

- Table 1:** Application Group Information.
- Attachment 5a:** For EACH member of the applicant group submit the following:
 - **New Applicant and Prospective School Trustee Background Information Sheet**, including a signed Statement of Assurance and Intent, which is included at the bottom of the Assurance statement. See Background Information Sheet at [Starting a Charter School](#).

¹² N.Y. Education Law § 2851(2)(m)

- **Resume or Curriculum Vitae.** Provide a resume that includes all experience and expertise relevant to the founding, managing and governing of a charter school.
- **Education Credentials.** A copy of the individual’s diploma or transcript from their highest level of education. If such documents cannot be provided, submit a signed and notarized letter stating the highest level of education obtained and the reason why these documents cannot be provided.

Note Regarding Criminal Background Check/Fingerprint Scan: All members of the applicant group who are proposed members of the board of trustees will be required to undergo criminal background checks via fingerprint scans.¹³ If advanced to the Capacity Interview phase, NYSED will provide the planning team with specific background check/fingerprint information. **The inability or unwillingness of any member of the applicant group to promptly undergo the required criminal background checks via fingerprint scans within the timeframe requested in advance of the Board of Regents meeting shall be grounds for terminating an application or denying a charter recommendation.**

Proposed Charter School Information

- Proposed school name** (include the words “charter school” in the name);
- Proposed school mission statement;**
- Proposed school location** that at minimum identifies school district or community school district in New York City and may also specify a specific neighborhood or community within that district. Indicate whether the applicant group is requesting to be co-located in public school district facilities;
- Target population/community served:** Briefly describe the school’s target population and the community that the school intends to serve;
- Planned ages, grades and enrollment** for each of year of the initial charter term;

¹³ N.Y. Education Law § 2852(4)

Projected Enrollment Table Over the Charter Term ¹⁴						
Grades	Ages	2018-2019	2019-2020	2020-2021	2021-2022	2022-2023
K						
1 st						
2 nd						
3 rd						
4 th						
5 th						
6 th						
7 th						
8 th						
9 th						
10 th						
11 th						
12 th						
Ungraded						
Totals						

- f. **Proposed management and/or partner organization(s):** If the proposed school will be affiliated with a charter management organization, and entity that provides comprehensive management services¹⁵, or a significant partner organization, describe the organization(s) and the rationale for their selection;
- g. **Replication:** If the proposed school will replicate an existing school model, provide a brief description of the model school’s success and discuss why replication of the model school is needed or provides a high quality option for the intended population of students or community; and
- h. **School overview:** A brief description of the design of the proposed school, including key design elements and any additional innovative design elements that might require specific expertise to evaluate during the review process.

II. Enrollment and Retention Strategies.

- a. Describe the school’s strategies to attract and recruit its students, specifically:
 - i. Those identified in the school’s mission;
 - ii. Students with disabilities;
 - iii. English language learners; and
 - iv. Economically disadvantaged students.
- b. Describe the school’s strategies to retain its students, specifically:

¹⁴ N.Y. Education Law § 2851(2)(p)

¹⁵ See [Definition of Entities Providing Comprehensive Management Services](#)

- i. Those identified in the school’s mission;
- ii. Students with disabilities;
- iii. English language learners; and
- iv. Economically disadvantaged students.

IV. Public Outreach and Community Support

- a. Describe the public outreach conducted to date to solicit community input regarding the proposed school using **Table 2: Public Outreach Information**.
- b. Describe your initial assessment of parent interest in and/or demand for your proposed charter school, which will allow the school to reach its anticipated enrollment. Include in your response a description or analysis of any data you have collected to support the initial assessment of interest.

Required Attachments:

- Table 2: Public Outreach Information.**
- Attachment 2a: Initial Samples of Public Outreach.** Provide **ONE** sample of evidence demonstrating **EACH** of the following statements to support the applicant group’s outreach attempts (4 samples in total):

- 1. The group has informed the community about the proposed charter school, including the intended location, the target student population, the grades to be served, and a description of the educational program(s) to be offered;
- 2. The group has had a public meeting with stakeholders in the school district of location;
- 3. Stakeholders in the community were given the opportunity to provide input into the design of the proposed charter school; and
- 4. Comments received from the impacted community or communities concerning the educational and programmatic needs of students were addressed.

Samples of evidence may include, but are not limited to: a public meeting flyer with sign-in sheet and signatures; minutes of discussions with community parents, stakeholders or organizations and feedback obtained; public awareness campaigns (emails, social media postings, media, etc.) with documented results; and/or surveys distributed with statistical analysis. For a more complete list of sample evidence, refer to the Full Application-Section 1E: Public Outreach of the RFP.

Please be aware that the Board of Regents will not consider an application if the applicant group does not sufficiently demonstrate that the extensive public outreach process described above has been conducted. Since public outreach activities are expected to be ongoing throughout the application review process, additional information about public outreach activities is expected at the Capacity Interview or through the NYSED public comment period.

V. Proposed Board Chair Signature and Date

The last page of the Letter of Intent must be signed and dated by the proposed board chair of the new school (or the current board chair of an existing Board of Regents-authorized education corporation that seeks to replicate an existing school) before uploading the document into the portal.

Please be advised that the submitted Letter of Intent (and all other charter school application material) is a public record, and NYSED will post all Letters of Intent received on its website. Personal contact information of all members of the applicant group will be redacted from the document, but all other information will become public.

Table 1: Applicant Group Information

Table 1 is not counted toward the page limits

***Minimum of 5** members of applicant group must be designated as Trustees

Applicant Group Member Name/Phone/ Email Address	Current Employment	Relevant Experience/Skills and Role on Applicant Group (key words)	Proposed Role(s) in School (e.g., trustee, employee, none)	Proposed Position (e.g., officer, trustee, or constituent representative)
1. John Smith (555) 555-5555 email@gmail.edu	NYU Education Professor	HS ELA Teach and Curriculum Design Worked on Section II: Education Plan	Trustee	President
2.				
3.				
4.				
5. Add more rows to table as needed				

Table 2: Public Outreach Information

Table 2 is not counted toward the page limits
 Add more rows and/or rotate page if necessary

Date(s) of Outreach (mm/dd/yy)	Target Stakeholder Group	Description of the Outreach	Location of Outreach	Input Obtained	Action Taken on Input	Number of Attendees
1. 01/16/17 meeting date	Families of students with disabilities, community members	Sent flyers to community based organizations serving children and families with special needs. Hosted a meet/greet to introduce team and solicit feedback on application.	ABC Community Center 1000 Avenue A NYC CSD 5	Need for family partners	Add to staff a family liaison who is bilingual	22 families of students in grades Pre-Kindergarten and Kindergarten
Add more rows to table as needed						

FULL APPLICATION SUMMARY

Proposed Charter School Name¹⁶ and Application Summary	
Application History	
Proposed Board Chair Name	
Proposed Board Chair Email Address	
Proposed Board Chair Telephone Number	
Public Contact Name	
Public Contact Email Address	
Public Contact Telephone Number	
District of Location	
Opening Date	
Proposed Charter Term¹⁷	5 year term; August/September 2018 thru June 2023
Proposed Management Company, Entity that Provides Comprehensive Management Services, or Partner Organizations	
Replication School(s):	
Mission Statement:	

Year of Initial Charter Term	Grades In Operation by Year	Number of Students Enrolled by Year
1		
2		
3		
4		
5		

Please complete the tables above and provide a brief two page summary of the proposed school. Include a discussion of the mission; objectives; key design elements; other unique characteristics of the program (if any); identification of student communities to be served or targeted; curriculum and instructional features; plan for instructional staffing and leadership/management design; plans for relationships with management or other partner organizations; and any other relevant information.

¹⁶ N.Y. Education Law § 2851(2)(k)

¹⁷ N.Y. Education Law § 2851(2) (p). Typically, the charter term requested should be five years of operation.

The Application Summary is intended to provide the public with a concise description of the proposed school and may be shared to respond to public inquiries and used for documents prepared for the consideration of the Board of Regents. Please limit the Summary to two pages. This section of the application will not count against Full Application page limitations. The Application Summary will not be formally evaluated by peer reviewers, but the information provided must be consistent with information provided elsewhere in the Full Application.

CERTIFICATION AND ASSURANCES/INTENT STATEMENT

Proposed Charter School Name _____

Proposed School Location (District) _____

Name of Existing Education Corporation (if applicable) _____

I hereby certify that the applicant group/prospective Board of Trustees have all read Article 56 of the New York State Education Law, and understand the relationship between a charter school and the authorized chartering entity as defined in that statute. By submitting a charter school application to the Board of Regents, the applicant group/prospective Board of Trustees understands that the Board of Regents is the authorized chartering entity with the authority to approve our application to establish the proposed charter school and enter into a charter agreement setting forth the terms and conditions under which the Board of Trustees will operate the charter school. The applicant group/prospective Board of Trustees also understands that this charter school application serves as the first component of an application for a federal Charter Schools Program (CSP) Planning and Implementation Grant. We understand that if the charter application is approved and a charter is issued by the Board of Regents, the school is qualified to receive a CSP grant, pending available funding and final approval of additional materials – including budget materials - by NYSED and by the New York State Office of the Comptroller. We agree to complete all required budget information and assurances according to forthcoming instructions and a revised timeframe to be issued by NYSED.

I hereby certify that the information submitted in this application is true to the best of my knowledge and belief; and further I understand that, if awarded a charter, the proposed school shall be open to all students on a space available basis, and shall not discriminate or limit the admission of any student on any unlawful basis, including on the basis of ethnicity, race, creed, national origin or ancestry, gender, sexual orientation, disability, intellectual ability, measures of achievement or aptitude, athletic ability, age, religion, proficiency in the English language or a foreign language, or academic achievement. I understand that the Charter Schools Act allows, to the extent consistent with Federal law, “the establishment of a single-sex charter school or a charter school designed to provide expanded learning opportunities for students at-risk of academic failure or students with disabilities and English language learners.”¹⁸

The applicant group also makes the following assurances pursuant to Section 7221b of the United States Code (USC), which will be incorporated into, and made a part of, the Charter School’s charter, if granted, and be binding on the Charter School itself:

- An assurance that the charter school will annually provide the Secretary of the U.S. Department of Education and the State Education Department such information as may be

¹⁸ N.Y. Education Law § 2854(2)(a)

required to determine if the charter school is making satisfactory progress toward achieving the objectives described in this application;¹⁹

- An assurance that the charter school will cooperate with the Secretary of the U.S. Department of Education and the State Education Department in evaluating the program assisted;²⁰ and
- That the charter school will provide such other information and assurances as the Secretary of the U.S. Department of Education and the State Education Department may require.²¹

I, Enter name of Proposed Board Chair, hereby certify that the information submitted in this Full Application to establish Enter Name of Proposed Charter School is true to the best of my knowledge and belief, realizing that any misrepresentation could result in disqualification from the application process or revocation after issuance of the charter.

Signature of Proposed BOT Chair/Existing Education Corporation BOT Chair:

Date:

¹⁹ 20 USC § 7221b(b)(3)(J)

²⁰ 20 USC § 7221b (b)(3)(K)

²¹ 20 USC § 7221b (b)(3)(N)

I. MISSION, KEY DESIGN ELEMENTS, ENROLLMENT, AND COMMUNITY

A. Mission Statement and Objectives

General Overview: Provide a mission statement that defines the core purpose, key values, and objectives of the school and informs the public about the students the school intends to serve. It should be consistent with high academic standards set forth in the Charter School Performance Framework and be succinct and meaningful. A school's mission statement provides the foundation for the entire charter application and for the full term of the school's charter. The mission statement should be reflected throughout all sections of the application. Briefly describe the school's objectives and how the school will implement one or more of the objectives identified in the Charter Schools Act.

Evaluation Criteria:

A response that meets the standard will:

1. Present a mission statement that defines the purpose and key values of the proposed charter school and informs the public about the students the school intends to serve²²;
2. If a replication school, indicate whether the mission statement is the same as that of the school being replicated. If not, please explain how and why it will be different.
3. Describe the objectives of the charter school²³;
4. Explain how the school will materially further one or more of the objectives specified in Education Law §2850(2); and
5. Be reflected throughout all sections of the full application.

B. Key Design Elements

General Overview: Provide a description of key design elements which are those aspects of the school that are innovative or unique to the school's mission and goals, are core to the school's overall design, and critical to its success. The design elements may include a specific content area focus; unique student populations to be served; specific educational programs or pedagogical approaches; unique calendar, schedule, or configurations of students and staff; and/or innovative organizational structures and systems. The Charter Schools Act allows, to the extent consistent with Federal Law, "the establishment of a single-sex charter school or a charter school designed to provide expanded learning opportunities for students at-risk of academic failure or students with disabilities and English language learners."²⁴ The key design elements should fit together into a cohesive school design that is supported by the proposed staffing plan and budget. While it is important to provide a rationale for the key design elements that is grounded in research and precedent, applicants may also present and refer to supporting information in subsequent sections that focus on specific aspects of the school, e.g., curriculum and instruction, culture or management, and staffing. Approved schools will be

²² N. Y. Education Law § 2851(2)(a)

²³ 20 USC § 7221b(b)(3)(C)(i)

²⁴ N. Y. Education Law § 2854(2)(a)

accountable for implementation of the key design elements included in their charter (see Charter School Performance Framework Benchmark 8).

Evaluation Criteria:

A response that meets the standard will:

1. List and describe the key elements or features that are core to the school's overall design.
2. Present evidence of success if drawing on proposed key design elements currently with a precedent or demonstrate the efficacy of proposed design elements which do not have a precedent;
3. For replications, indicate whether the key design elements are the same as that of the school being replicated. If not, explain why the key designs are different and provide a rationale for the change.
4. Describe the rationale for selecting these key design elements and provide any supporting research, evidence of effectiveness or examples of existing programs that serve a similar target population that support the use of these key design elements in this school.
5. Demonstrate clear alignment with the school's mission and all aspects of the full application, including educational, organizational, and fiscal plans;
6. Demonstrate how the key design elements will serve the diverse needs of all students
7. If applicable, provide a request and justification for waivers of any federal statutory or regulatory provisions that the applicant believes are necessary for the successful operation of the charter school, and a description of any state or local rules, generally applicable to public schools, that the applicant proposes to be waived or otherwise do not apply to the school.²⁵

C. Enrollment, Recruitment, and Retention

General Overview: Provide information about the number of students and the ages and grade levels to be served in each year of the proposed charter term.²⁶ Discuss past efforts and future plans designed to meet or exceed the enrollment and retention targets established by the Board of Regents for students with disabilities, English language learners, and students who are eligible applicants for the free and reduced price lunch program.

Please Note: NYSED is unlikely to recommend for approval charters with enrollment plans that terminate grades in the middle of logical grade spans at the end of the charter period, e.g., a grade 6-10 school. Instead it is recommended that applicants propose distinct elementary, middle or high school programs and approved schools can request to add grades mid-charter with evidence of strong enrollment and academic performance, e.g., propose a grade 6-8

²⁵ ESEA § 5203(b)(3)(G)

²⁶ Please note N.Y. Education Law § 2854(3)(b-1) requirements regarding negotiating unit representation for employees in a charter school that enrolls more than 250 students at any point during the first two years after the charter school commences student instruction.

school and then, once the school has demonstrated success, request a revision to add high school grades in the fourth year of operation.

Required Attachment:

Attachment 1: Admissions Policy and Procedures

(Policy should identify and explain enrollment preferences as well as state how any vacancies created during the school year will be filled and any date by which the school will no longer fill such vacancies).

Evaluation Criteria:

A response that meets the standard will:

1. Provide a projected enrollment table that presents the number of students to be served by the school (the minimum number of students shall be at least fifty at a single site, or, if less than fifty students are to be served by the school, the response must include a compelling justification for the enrollment projection)²⁷, and the ages and grade levels²⁸ to be served by the proposed school (use the Projected Enrollment Table Template that follows this subsection);
2. Explain the rationale for the projected enrollment plan, including school and grade sizes, growth patterns, alignment with grade configurations of other local schools, and assumptions about student attrition and retention of students from grade to grade.²⁹ If the school will continue to grow after the first charter term, present the ultimate grade span goal and the year in which this would occur;
3. Describe the proposed application, admissions, and enrollment process, including a plan for a public lottery;
4. Describe how any vacancies created during the school year will be filled (backfilling) and any date by which the school will no longer fill such vacancies or provide a strong rationale for leaving seats vacant.
5. Describe the school's student recruitment and retention plan, including how the school will publicize its education program to a broad cross-section of prospective students including a description of the school's specific plan to recruit and then retain students with disabilities, English language learners, students who are eligible applicants for the free and reduced price lunch program, and students whose families may be less informed about available options; and
6. Describe how the proposed school will ensure adequate enrollment and allow for full accessibility of the school for all eligible students.

²⁷ N.Y. Education Law § 2851(2)(i)

²⁸ N.Y. Education Law § 2851(2)(l) and ESEA Section 5203(b)(3)(A)(ii)

²⁹ Please note N.Y. Education Law § 2854(3)(b-1) requirements regarding negotiating unit representation for employees in a charter school that enrolls more than 250 students at any point during the first two years after the charter school commences student instruction.

Projected Enrollment Table Over the Charter Term ³⁰						
Grades	Ages	2018-2019	2019-2020	2020-2021	2021-2022	2022-2023
K						
1 st						
2 nd						
3 rd						
4 th						
5 th						
6 th						
7 th						
8 th						
9 th						
10 th						
11 th						
12 th						
Ungraded						
Totals						

D. Community to be Served

General Overview: Describe the characteristics and demographics of the community to be served which are essential factors that inform the design of a successful charter school and ultimately drive support for student enrollment and community involvement in the school. At a minimum, applicants must demonstrate knowledge of any school district or community school district (CSD) in which the school will be located and from which it will draw students. Applicants may also highlight narrower communities or neighborhoods within a district or discuss plans for drawing students from across multiple school districts. Likewise, the academic program must reflect the needs of the specific target student population to be served.

Successful charter schools are typically embedded in their community and leverage community assets to help start and sustain the school. Community support may involve student recruitment, academic program development, professional development, facility assistance, fundraising or any other aspect of the school design. Applicant groups should cultivate community support and provide evidence of specific commitments in their charter application. Also, provide evidence of adequate community support for and interest in the charter school sufficient to reach its anticipated enrollment.³¹ If applicable, discuss how the school will partner with low performing public schools in the area to share best educational practices and innovations.³²

³⁰ N.Y. Education Law § 2851(2)(p)
³¹ N.Y. Education Law § 2851(2)(q)
³² N.Y. Education Law § 2852(9-a) (c) (vi)

Evaluation Criteria:

A response that meets the standard will:

1. Describe the community to be served by the proposed school;
2. Speak to the value of the school in the identified community;
3. Discuss briefly the reason for the selection of the community and the applicant group's ability to serve this particular community;
4. Describe the student population that the proposed charter school would serve, including identification of student needs and how the school will address those needs;
5. Provide a specific rationale for how this school will enhance or expand the educational options, including whether the educational program or innovative methods to be used by the proposed school differ from the district or districts from which the charter school is expected to enroll students;
6. Provide a description of how the applicant group has assessed family and community support within the proposed sending district(s)/region for the proposed school and evidence that this community support for and interest in the charter school is sufficient to reach its anticipated enrollment.³³ Explain how community assets will be leveraged and how any challenges presented by opposition will be addressed.

E. Public Outreach

General Overview: N.Y. Education Law Section 2852(9-a)(b)(ii) states that the Board of Regents shall not consider any applications which do not rigorously demonstrate that the applicant has conducted public outreach, in conformity with a thorough and meaningful public review process prescribed by the Board of Regents, as outlined below, to solicit community input regarding the proposed charter school and to address comments received from the impacted community concerning the educational and programmatic needs of students. Although appropriate to include general letters of support for the charter school from community leaders and members, such letters of support alone are not sufficient.

The public review process should include, but is not limited to, the following components:

- **Informing the community about the proposed charter school including the intended location, the target student population, the grades to be served, and a description of the educational program(s) to be offered and evidence to support the dissemination of this information.** This should include reasonable notice to stakeholders in the community, and may be achieved through a number of means, including but not limited to: community letters and flyers, news and/or web articles, advertisements, community meetings, meetings with stakeholders, and other means employed by the applicant;
- **At least one public meeting with stakeholders in the community in the school district in which the proposed charter school is to be located.** Reasonable public notice should be provided to community stakeholders;

³³ N.Y. Education Law § 2851(2)(q)

- **Providing stakeholders in the community the opportunity to submit comment on the proposed charter school.** This may be achieved through the means listed above, the provision of an email or website for comment submission, as well as other means employed by the applicant; and
- **Addressing comments received from the impacted community concerning the educational and programmatic needs of students.** This may be achieved through discussions at community and stakeholder meetings, interviews, written responses to written comments received, as well as other means employed by the applicant.

Required Table and Attachments:

- ❑ **Table 2a: Public Outreach Information.** Update the LOI Table 2 to include outreach conducted to date and resubmit as Table 2a. Public outreach can and should continue after submission of the application and additional evidence may be presented during the Capacity Interview and through the public comment process.
- ❑ **Attachment 2b: Evidence of Public Review Process.** This attachment should provide a sampling of documentary evidence related to the public review process. Attachments should be limited to documents that provide meaningful and relevant information about the community outreach and public input. Please do not submit photocopied form letters of support or petitions containing signatures and addresses. Include any evidence that the school informed the community about the proposed charter school and invited comments and input, and provide evidence that comments/input were addressed. Examples of evidence may include, but are not limited to:
 - Attendance lists from meetings and events;
 - Public meeting flyer with sign-in sheet and signatures;
 - Minutes or summaries of public meetings and meetings with stakeholders (school boards, school district administrators, elected officials, community leaders, parent organizations, etc.);
 - Surveys distributed and resulting statistical analysis;
 - Public awareness campaigns (emails, social media postings, media, etc.) with documented results;
 - Responses sent to members of the public who submitted comments/input concerning the proposed charter school;
 - Copies of received letters or emails;
 - Invitations sent for meetings and events; and
 - Media announcements or articles.
- ❑ **Attachment 2c: Evidence of District Support for Restart/Turnaround.** Include any letter of support from the school district (**Attachment 2c**) if the proposed charter school is intended to operate as a district-led restart or turnaround school.

Evaluation Criteria:

A response that meets the standard will:

1. Describe the means employed and provide evidence to demonstrate that the community has been informed about the proposed charter school, including the intended location (whether in private or public building space), the target student population, the grades to be served, and a description of the educational program(s) to be offered;
2. Include evidence that the applicant group held at least one public meeting with stakeholders in the community in the school district in which the proposed charter school is to be located, and that reasonable public notice was provided to community stakeholders;
3. Describe the means employed and provide evidence to demonstrate that the applicant group solicited community public input or comment on the educational and programmatic needs of students, and that the public had adequate opportunity to comment on the proposed school;
4. Describe how the applicant group responded to comments received from community stakeholders and ensured that those comments were considered and addressed³⁴;
5. Describe the ongoing approach the applicant group is taking to continue to engage with the community and to solicit public input about the educational and programmatic needs of students, and how the applicant group has or is using this input to shape the application;
6. Describe how students in the community will (i) be informed about the charter school and (ii) be given an equal opportunity to attend the charter school³⁵; and
7. If applicable, discuss how the school will partner with low performing public schools in the area to share best educational practices and innovations. Include any letter of support from the school district (**Attachment 2c**) if the proposed charter school is intended to operate as a district-led restart or turnaround school.

Please be aware that the Board of Regents will not consider an application that does not sufficiently demonstrate that the public review process described above has been conducted. Since public outreach activities are expected to be ongoing throughout the application review process, additional information about public outreach activities is expected at the Capacity Interview and/or through the NYSED public comment period.

Public outreach must be specific and original to the proposed school and cannot be transferred from a replicated school. Each application, even if the applicant group has previously responded to a new school RFP or currently operates a charter school, requires updated community outreach specific to each application (i.e. the community needs to be informed and provided with another opportunity to comment on the current proposal) .

F. Programmatic and Fiscal Impact

³⁴ N.Y. Education Law § 2852(9-a)(b)(ii)

³⁵ ESEA Section 5203(b)(3)(I)

General Overview: Provide an assessment of the projected programmatic and fiscal impact of the proposed school on other public and nonpublic schools in the area as required by the Charter School Act.

Evaluation Criteria:

A response that meets the standard will:

1. Identify the number and type of public and nonpublic schools in the area;
2. Discuss the projected programmatic impact of the proposed school on other public and non-public schools in the area³⁶; and
3. Present a projected assessment of the fiscal impact of the proposed school on other public and nonpublic schools in the area.³⁷

³⁶ N.Y. Education Law § 2851(2)(q)

³⁷ N.Y. Education Law § 2851(2)(q)

II. EDUCATIONAL PLAN³⁸

A. Curriculum and Instruction

General Overview: The application must include a description of the school's proposed curriculum and instructional practices.³⁹

Evaluation Criteria:

A response that meets the standard will:

1. Present a clear and coherent education philosophy that has informed the design of the education plan and identify research and theories that support the school's pedagogical approach to teaching and learning;
2. Present a clear and coherent framework for teaching and learning -- particularly in the core academic areas of English language arts, mathematics, science and social studies -- and how the school will ensure alignment with the New York State Learning Standards and the New York State Testing Program;
3. Provide precise definitions of instructional rigor and engagement and discuss how the education plan is likely to ensure rigorous and engaging instruction;
4. Explain how the curriculum and instruction will further the school's mission and key design elements, when it will be reviewed, how teachers will know what to teach and when to teach it, and the curriculum resources to be used;
5. Describe the curriculum, instructional strategies and related resources the charter school proposes to use, including how often they will be reviewed and by whom;
6. Describe how the curriculum and instructional practices will address the needs of special populations;
7. Discuss the specific instructional strategies and practices that will be used for successful implementation of the curriculum, particularly for special student populations, and any research or existing models that support the use of these instructional methods; and
8. Describe how the school will meet Benchmark 1 of the Charter School Performance Framework as found on the Charter School Office website.

B. Special Student Populations and Related Services

General Overview: Describe the implementation of the school's programs and services for special student populations such as students who are at-risk of academic failure, students who are English language learners, students with disabilities, and students who are academically advanced or gifted within the context of the proposed school design. Please discuss programs and services separately for each special student population.

³⁸ The Educational Plan should define what students will achieve, how they will achieve it, and how the school will evaluate student performance. (ESEA § 5203(b)(3)(A) and N.Y. Education Law § 2851(2)(b))

³⁹ ESEA § 5203(b)(3)(A)(iii)

Evaluation Criteria:

A response that meets the standard will:

1. Discuss how special student populations will be provided with full and meaningful access to participate and progress in the general education curriculum. Explain how the school will ensure that after school and other extra-curricular programming will be accessible to all students including special student populations;
2. Discuss how the classroom environment and instructional approach will be responsive to the needs of special student populations;
3. Describe the processes and procedures that the school will employ to identify, assess, and serve special student populations in compliance with all applicable federal laws and regulations. Include a description of support services to be offered, the settings in which these required services will be implemented, the qualifications of individuals who will implement these services, and how the programs will be evaluated;
4. Provide a description of the screening process to be used for those students suspected of having a disability, the incorporation of the Child Find process, and teacher participation in CSE meetings⁴⁰;
5. Describe the supports, programs, resources, and personnel (including qualifications) that will be used to assist special education students both inside and outside of the general education classroom;
6. Describe the processes and procedures that the proposed school will use to provide specialized instruction to each student in need of special education services⁴¹ that are consistent with the IEP developed by the CSE of the student's school district of residence.⁴²
7. Describe the process by which the school will work with the districts of residence to ensure that eligible students receive services consistent with their IEPs and comparable to services provided in other public schools in the district, and ensure fair financing for those services;
8. Describe how the school will manage IEP record-keeping, including the processes for providing copies of the IEPs to teachers and service providers;
9. Describe the process by which general education teachers and those providing supports to special student populations will coordinate and communicate;
10. Describe any ancillary and support services the school expects to offer students and families, for example, counseling, family outreach, and/or relationships with community organizations or service agencies; and
11. Describe the process used to evaluate the effectiveness of the programs employed to support special student populations and how the school will ensure that it is meeting the needs of these students.

⁴⁰ ESEA § 5203(b)(3)(L)

⁴¹ N.Y. Education Law § 2851(2)(s)

⁴² N.Y. Education Law § 2853(4)

C. Achievement Goals

General Overview: Provide a detailed description of the proposed school’s progress goals used to measure student achievement, the overall educational program, and the key components of the school design.

Applicant groups should keep in mind that at renewal, as set forth in the New York State Charter School Performance Framework Benchmark 1: Student Performance, the school is expected to meet or exceed growth and progress/achievement goals based on the New York State assessments (elementary and middle school) or Regents examinations (high school), as well as college and career readiness measures.

Evaluation Criteria:

A response that meets the standard will:

1. Describe the incoming student population, including the anticipated percentages of students with disabilities, English language learners, and students who are eligible applicants for the free and reduced price lunch program as referenced in Section I.C. of the RFP;
2. Provide academic data about the sending district’s performance for the grade levels the proposed school will serve, including relevant NYS assessment outcomes and graduation rate, if applicable;
3. Describe the school’s goals for student achievement and for the overall educational program as well as for key components of the school design;
4. Describe the chosen methods and timeline for evaluating whether students are progressing toward meeting the student achievement goals set forth in the Performance Framework⁴³;
5. Explain how the school determined this method of evaluation will best measure student progress, deficits and strengths;
6. Describe how the school leadership will communicate and use goal-specific evaluation data with teachers, support staff, students, parents, and community; and
7. Describe how the school will monitor the progress toward meeting the achievement goals and the Charter School Office Performance Framework Benchmarks and how adjustments to these goals will be made.

⁴³ N.Y. Education Law § 2851(2)(b)

D. Assessment System

General Overview: Describe the school's approach to assessment and the use of formative, interim, diagnostic, and summative assessments to evaluate academic progress.

Evaluation Criteria:

A response that meets the standard will:

1. Align with the school's mission, objectives, and overall educational priorities, and provide a description of the methods by which the proposed charter school will determine its progress toward achieving its goals⁴⁴;
2. Provide information about the reliable and valid assessments the school will use to gather screening, diagnostic, and proficiency information about student skills and knowledge in core areas. Include a rationale for the selection of the assessment instruments as well as a timetable for the administration of the assessments.
3. Describe clearly the processes of administering assessments and analyzing assessment information. Include how assessment information will be collected and made available to teachers, administrators, the school's board of trustees, students, parents and community, and discuss how resultant action plans will be managed within the school;
4. Explain how the school will use assessment data to inform key decisions aimed at improving academic outcomes;
5. Demonstrate understanding of and commitment to assessment requirements applicable to all public schools consistent with state law⁴⁵ and relevant policies of the Board of Regents including the New York State Testing Program; and
6. Present a clear and credible plan for measuring and reporting⁴⁶ the educational performance and progress of individual students, cohorts, and the charter school as a whole including valid and reliable measures of student outcomes.

E. Performance, Promotion, and Graduation Standards

General Overview: To assure that the proposed school will meet the same performance standards and assessment requirements set by the Board of Regents for students in other public schools, provide sample promotion or exit standards for English language arts, mathematics, and one other subject area for each level the school intends to operate (upper and/or lower elementary, middle, high). If a school intends to serve the twelfth grade, provide the school's requirements to obtain a high school diploma.

- ❑ **Attachment 3: Sample Exit Standards.** Provide sample exit standards for English language arts, mathematics, and one other subject area for each level (i.e., elementary, middle, high) that the school intends to operate.

⁴⁴ ESEA § 5203(b)(3)(C)(ii)

⁴⁵ N.Y. Education Law § 2854(1)(b)

⁴⁶ Field memos containing information about Teacher Student Data Linkage and required data reporting are posted to [News Archives](#)

Evaluation Criteria:

A response that meets the standard will:

1. Demonstrate that the promotion and graduation standards are aligned with the school's mission, educational program, and assessment system;
2. Describe the proposed school's policies and standards for promoting students to the next grade, achievement level, or grouping level;
3. Describe a credible plan to explain what the school will do for students who do not meet promotion and/or graduation standards.
4. Provide sample promotion/exit standards for each of the school's grade-level groupings (e.g., lower and upper elementary, middle, high school) in mathematics, English language arts, and one other subject area that is critical to the school's mission. These standards should provide a clear sense of what students will know and be able to do at the end of each grade level; and
5. Provide diploma⁴⁷ requirements, if applicable, for high school graduation.

F. School Schedule and Calendar

General Overview: In addition to the information included in the narrative as per the evaluation criteria, three attachments are required for this section.

Required Attachments:

- ❑ **Attachment 4a:** Sample Weekly Student Schedule - Provide a sample weekly student schedule for at least one grade that is representative of each level the school intends to operate (lower elementary, upper elementary, middle, and/or high school). If scheduling structures are unique to each grade, please provide a sample schedule for each grade.
- ❑ **Attachment 4b:** Sample Weekly Teacher Schedule - Provide a sample weekly teacher schedule for at least one grade that is representative of each level the school intends to operate. If scheduling structures are unique to each grade, please provide a sample schedule for each grade. Present a typical week of instruction, including:
 - Length of the teacher's work day;
 - Supervisory time;
 - Planning periods;
 - Professional development; and
 - Any other duties the teacher performs in a given day.
- ❑ **Attachment 4c:** Proposed First Year Calendar - Provide a copy of the proposed school calendar for year one of the school's operations that clearly demonstrates:
 - Days that school is in session;
 - Holidays, days off, and half days;
 - Professional development days;

⁴⁷ N.Y. Education Law § 2851(2)(u)

- Summer programming and/or instruction;
- First and last days of class; and
- Organization of the school year (quarters, semesters, trimesters) including the beginning and ending for each segment.

Evaluation Criteria:

A response that meets the standard will:

1. In the narrative, describe a student’s typical school day from their entry into the building to their exit. Discuss all components of the schedule including, but not limited to:
 - Core classes;
 - Non-core classes;
 - Intervention programs;
 - Remediation programs;
 - Electives; and
 - Relevant key design elements.
2. Present clear information about how teachers’ work will be organized on a weekly and annual basis, including teacher planning time and professional development;
3. Describe any differences that may occur in teacher schedules and any other information about a teacher’s workday that may not be apparent in the teacher schedule attachment;
4. Present clear information about the length of the school day and year, including summer school and time allocated for teacher professional development;
5. Present a school calendar and student schedule which provides at least as much core instructional time during a school year as required of other public schools⁴⁸; and
6. In the narrative, explain any aspects of the school year that are not evident on the calendar or would benefit from further elaboration.
7. If applicable, present compelling research or models that demonstrate the efficacy of the school’s calendar and schedules.

G. School Culture and Climate

General Overview: School culture is critical not only to the academic success of charter schools, but to student and staff retention as well. Applicant groups must have a clear vision of school culture and present a detailed plan realizing that vision. The school may employ schoolwide, grade-wide or class-based strategies and applicants should describe how the social-emotional development of students as well as behavior management and discipline will be addressed in the school.

⁴⁸ N.Y. Education Law § 2854(1)(b)

Describe the strategies the school will employ to develop and sustain a safe and orderly school climate that supports the achievement of the educational goals.

Required Attachment:

- Attachment 4d:** Student Discipline Policy - Provide a student discipline policy that reflects the mission and culture of the school.

Evaluation Criteria:

A response that meets the standard will:

1. Explain the school's approach to student behavior management and discipline for both the general student population and for students with special needs;
2. Provide a student discipline policy that is reasonably likely to promote a safe and orderly learning environment and addresses student behavior and discipline for the general student population and for students with disabilities. The policy should include rules and procedures by which students may be disciplined up to and including expulsion or suspension from the school, which are consistent with (a) the requirements of due process and with federal laws and regulations governing the placement of students with disabilities⁴⁹, and (b) the requirements of the Dignity for All Students Act (Education Law Article 2) relating to the creation of policies intended to create a school environment that is free from discrimination or harassment;⁵⁰
3. Describe the culture of the school, specifically how the school's discipline policy will be implemented by administrators, teachers, and parents starting from the first day of the school's operation, and the methods by which the school will evaluate that the environment is safe and conducive to learning; and
4. Explain how the school will encourage family involvement and communication to support student learning, and how it will gauge satisfaction with school climate.

⁴⁹ N.Y. Education Law § 2851(2)(h)

⁵⁰ N.Y. Education Law Article 2

III. ORGANIZATIONAL AND FISCAL PLAN

A. Applicant Group Capacity

General Overview: Identify and provide information (as described below) about the applicant group and the process by which the school design and application were developed. The applicant group consists of those participating in the planning of the application to establish the proposed charter school, those individuals who will comprise the initial board of trustees (minimum of 5), and those individuals who will become school employees.

If not previously identified in the Letter of Intent, please present background information pertaining to any new additions to the applicant group in the form of an updated Table 1, as described in the Letter of Intent section of the RFP.

Required Attachments:

- Table 1a: Applicant Group Information.** If any applicant group members have been added between the Letter of Intent and Application phases, please update and resubmit as **Table 1a** to reflect the additional members.

Evaluation Criteria:

A response that meets the standard will:

1. Identify and present background information pertaining to members of the applicant group.⁵¹ Such information should include the name, current employment, and relevant experience and/or qualifications for each member;
2. Specify whether each individual member of the applicant group is a proposed board member, proposed school leader, or proposed for any other position or role, and indicate the process used to determine that the individual is the best candidate for the position;
3. Describe briefly how the applicant group came together to develop this proposed school;
4. Describe briefly how often the applicant group met and how the planning and writing process of the application occurred; and
5. Identify the primary author of the final application. Provide the names of any paid consultants or organizations that were involved in the development, fiscal planning or writing of the application.

⁵¹ N.Y. Education Law § 2851(2)(m)

B. Board of Trustees and Governance

General Overview: The proposed initial board as identified in Table 1 must consist of a minimum of five members and no more than 25 members.⁵² In this section, define the roles, responsibilities, backgrounds, and governance structure of the board and its officers as requested below in the Evaluation Criteria section.

Required Attachments:

Please provide the following information for all members of the Board of Trustees, if you haven't already done so in the Letter of Intent:

- Table 1a: Applicant Group Information.** If any Board of Trustee members have been added between the Letter of Intent and Application phases, please update Table 1 to reflect the addition of these members.
- Attachment 5a: Proposed Board Member Form.** For each proposed board member submit:
 - [New Applicant and Trustee Background Information Sheet](#) and Signed Statement of Assurance.
 - Resume or curriculum vitae; and
 - A copy of the individual's diploma or transcript from their highest level of education. If such documents cannot be provided, submit a signed and notarized letter stating the highest level of education obtained and the reason why these documents cannot be provided.
- Attachment 5b: By-Laws.** Submit a draft of proposed by-laws for the board of trustees.
- Attachment 5c: Code of Ethics.** Submit a draft of a proposed Code of Ethics for the charter school.

Note Regarding a Criminal Background Check/Fingerprint Scan: All members of the applicant group are required to undergo criminal background checks via fingerprint scans⁵³ arranged by NYSED.

Evaluation Criteria:

A response that meets the standard will:

1. Describe and demonstrate a clear understanding of the administrative relationship between the charter school and the Board of Regents as the chartering entity⁵⁴;
2. Describe the proposed governance structure of the school, including a list of members of the initial board of trustees, a description of the qualifications (including previous charter school board or employment experience), terms, and method of appointment or election of trustees, the organizational structure of the school, a procedure for

⁵² N.Y. Education Law §226(1)

⁵³ N.Y. Education Law § 2852(4)

⁵⁴ ESEA § 5203(b)(3)(D)

conducting and publicizing monthly board of trustees meetings to be held at the charter school, and the processes to be followed by the school to promote parental and staff involvement in school governance.⁵⁵ The experience and qualifications of proposed board members should demonstrate the capacity to found and sustain a high-quality charter school; to manage public funds effectively and responsibly; and to develop and strengthen ties to a broad and diverse community from which the school will draw students;

3. Demonstrate a clear understanding of the roles and responsibilities of a charter school board of trustees and its officers, including a clear understanding of the administrative relationship between the charter school governing board and the Board of Regents as the chartering entity;
4. Present proposed by-laws that meet the requirements of Education Law and all applicable laws and regulations governing education corporations in the State of New York. **See Attachment 5b**;
5. Present a proposed Code of Ethics for the charter school, setting forth the standards of conduct expected of the school's trustees, officers and employees, including standards with respect to disclosure of conflicts of interest regarding any matter brought before the board of trustees⁵⁶. **See Attachment 5c**; and
6. Describe recruitment, selection, and development plans for members of the Board of Trustees and information about any critical board seats to be filled in the future (such as a parent representative).

C. Management and Staffing

General Overview: Charter schools have flexibility in deciding how to manage and staff their organization, often using use innovative roles and structures to meet the needs of staff, students and families. Provide a management and staffing plan that presents a thorough understanding of how the school will be operated and managed,⁵⁷ and provide a clear picture of the school's operating structure and priorities, delegation of responsibilities or staffing, and relationships with key stakeholders. The response should also provide a clear plan for staffing across the years of the charter term and a narrative that explains the rationale for the staffing structure and numbers.

Required Attachments:

- Table 3: Proposed Management and Staffing Plan**
- Attachment 8a: Hiring and Personnel Policies and Procedures** of the school, which should include qualifications used in the hiring of teachers, school administrators and other school employees, and a description of staff responsibilities.
- Attachment 8b: Resume for Proposed School Leader** if one has been identified.

⁵⁵ N.Y. Education Law § 2851(2)(c)

⁵⁶ N.Y. Education Law § 2851(2)(v)

⁵⁷ ESEA § 5203(b)(3)(B)

Evaluation Criteria:

A response that meets the standard will:

1. Provide within the narrative an Organizational Chart that shows the staffing structure and reporting responsibilities for the board, administration, and staff;
2. Present a comprehensive staffing plan using **Table 3** that is aligned with the school's enrollment projections, key design elements, education plan, and budget and is likely to achieve the school's mission and goals. The management and staffing plan should present a thorough understanding of how the school will be operated and managed and provide a clear picture of the school's operating structure and priorities.
3. Explain the management roles and responsibilities of key administrators with respect to instructional leadership, curriculum development and implementation, personnel decisions, budgeting, financial management, legal compliance, and any special staffing needs;
4. If a school leader has been identified, discuss the roles, responsibilities, and actual qualifications of that individual. If a school leader has not yet been selected, discuss the desired qualifications and any plans for the recruitment and selection of that individual;
5. Present a staffing plan that is viable and adequate for effective implementation of the proposed educational program and that includes the number of teachers to be employed at the school in the first year of operation⁵⁸ and over the proposed charter term;
6. Discuss how the school has budgeted and staffed to meet the needs of the English language learner and special education student population;
7. Provide the hiring and personnel policies and procedures of the school, including the qualifications (experience, professional preparation, training and skills) to be used in the hiring of teachers, school administrators, non-certified instructional personnel and other school employees, and a description of staff responsibilities⁵⁹;
8. Present strategies for recruiting and retaining effective teachers that are realistic and reasonably likely to be effective;
9. Demonstrate a sound understanding of staffing needs that are aligned with the mission, key design elements, education plan, budget and the school's anticipated enrollment and growth;
10. Present a plan that is reasonably likely to attract and retain effective staff including information pertaining to the school's working conditions and compensation package(s) that will attract highly qualified staff;
11. Explain how individual base salaries and increases will be determined;
12. Describe how the school will address potential human resource challenges as the school grows to scale over the course of the charter term; and
13. Describe how the school will use student assessment data to drive key decisions aimed at the recruitment, evaluation, retention and support of the leaders and teaching staff.

⁵⁸ N.Y. Education Law § 2851(2)(i)

⁵⁹ N.Y. Education Law § 2851(2)(g)

Table 3: Proposed Management and Staffing Chart

Positions	Avg. Starting Salary	Year 1	Year 2	Year 3	Year 4	Year 5
e.g., Principal	\$100,000	1	1	1	1	1
e.g., Director of Operations	\$90,000	1	1	1	1	1
e.g., English Teachers	\$65,000	2	4	6	6	6
Add more rows as necessary						

C.1. Charter Management Organization

General Overview: Schools may contract with a not-for-profit charter management organization (CMO) to provide substantially all of the educational or management services for the proposed school. Pursuant to recent amendments to the Charter Schools Act, for-profit business or corporate entities are not eligible to operate or manage a charter school created pursuant to this RFP.⁶⁰ If the applicant group intends to enter (or a replicating Education Corporation has already entered into a contract with a CMO), please indicate below.

Note: Schools that intend to employ a management organization but have not yet identified one are unlikely to be able to provide sufficient information for the authorizer to evaluate this section and conclude that the school has an adequate management plan.

Please select the statement that is applicable and proceed as directed:

We **intend to contract/have contracted** with a charter management organization. *Continue with completion of section C1.*

We **do not intend to contract** with a charter management organization. *Skip to the next section.*

We **intend to contract** with but have not yet identified a charter management organization. *Skip to the next section.*

Required Attachments (if applicable):

- Attachment 6a:** CMO information, including:
 - A list of any other schools managed by the CMO in New York and in other states with contact information;
 - Academic performance data from schools managed by the CMO for the past three years;
 - A summary of the CMO’s fiscal performance for the past three years and a description of the CMO’s current financial plan;

⁶⁰ N.Y. Education Law § 2851(1)

- A description of CMO-level services to be provided; and
- A description of the CMO management structure and a summary of key personnel at the CMO.

Attachment 6b: Proposed Management Contract with CMO

Attachment 6c: Management Organization Business Plan

Evaluation Criteria:

The response should present a clear picture of the contractual relationship and accountability between the CMO and the school’s governing board that is consistent with the school’s mission and educational program. A response that meets the standard will present:

1. A clear description of the contractual relationship and accountability between the management organization and the school’s governing board that is consistent with the school’s mission and educational program;
2. A persuasive explanation of the reasons for contracting with a charter management organization, in general, and this provider, in particular, and describe the selection process and the role of the CMO in the development of the application;
3. A clear description of the services to be provided by the CMO;
4. A coherent delineation of the roles and responsibilities among the school’s governing board, management and the CMO;
5. Evidence of the capacity of the Board to conduct a thorough and independent evaluation of the CMO that is consistent with the school’s accountability requirements; and
6. Performance expectations for the CMO and the means by which the board will hold the CMO accountable for meeting those expectations.

C.2. Partner Organization

General Overview: The statute permits an application to establish a charter school to be submitted by teachers, parents, school administrators, community residents or any combination thereof. Such application may also be filed in conjunction with a college, university, museum, educational institution, or not-for-profit corporation exempt from taxation under paragraph 3 of subsection (c) of section 501 of the internal revenue code.⁶¹ If this application is being filed in partnership with one of the entities described above, please complete this section in its entirety for each partner organization. Otherwise, write “Not Applicable” and skip to the next section.

Please note that this section is intended only for affiliations with organizations that are committed to providing a substantial benefit to the charter school. It is not necessary to list as

⁶¹N.Y. Education Law § 2851(1)

institutional partners organizations that will provide the same services to the charter school as the organization provides to other public schools and/or the general public, e.g., museums that provide tours or sports teams that provide tickets to all public schools. Please also note that due to recent amendments to the Act, this application may not be filed in conjunction with a for-profit business or corporate entity.⁶²

Required Attachment (if applicable):

- Attachment 7:** Letter of intent or commitment from a bona fide representative of the partner organization indicating that the organization is undertaking the affiliation and the terms and extent of the undertaking, including evidence that the organization has legal standing to do business in New York and has tax-exempt status under Internal Revenue Code section 501(c)(3).

Evaluation Criteria:

A response that meets the standard will:

For each proposed partner organization, address the following:

1. Provide the name of the organization.
2. Provide public contact information (name, address, phone number, and e-mail address) for a contact person at the affiliated organization.
3. Describe the nature and purpose of the proposed affiliation (e.g., teacher training and staff development, curriculum and assessment, access to physical facilities, etc.).
4. Provide the rationale for the affiliation.
5. Describe the benefit that the school expects to receive from the affiliation.
6. Describe any associated fees that will be assessed to the school.
7. Explain how the school will coordinate the services of the partner organization with the school program.
8. Explain how the school will monitor and evaluate the partnership to ensure the school is deriving value.

C.3. Strategic Business/Growth Plan

General Overview: An existing education corporation, Charter Management Organization, or entity that operates more than one school, charter or otherwise, in or outside of New York State, that seeks to operate multiple and/or add to a network of charter schools must submit **Attachment 6c: Strategic Business/Growth Plan** with the full application. If the proposed school is intended to be part of such a network, provide the information below. *Otherwise, skip to the next section.*

Attachment:

- Attachment 6c: Strategic Business/Growth Plan** (The Plan is mandatory for applications that operate more than one school; Optional for other schools).

⁶² N.Y. Education Law § 2851(1)

D. Evaluation

General Overview: Describe the evaluation systems that will be put into place for the educational, operational, and fiscal soundness of the proposed school.

Evaluation Criteria:

A response that meets the standard will:

1. Present the school's requirements and procedures for a programmatic audit, at least annually⁶³;
2. Describe the approach that will be taken for the review and evaluation of the performance of school leaders, administrators, teachers, and the board of trustees.⁶⁴ Include how they will be evaluated and by whom;
3. Discuss the data and process that will be used to evaluate the educational programs, the methods by which the charter school will determine its progress toward achieving its objectives⁶⁵, and how the school will use this information to improve instruction, student learning and teacher performance;
4. Discuss the information and process that will be used to evaluate the school's operational effectiveness and fiscal soundness;
5. Present a plan for the evaluation of teaching that is aligned with the State's approach to incorporating student status and growth data in the evaluation and support of teachers⁶⁶;
6. Describe how family and student satisfaction will be gauged and the process for gathering and publicizing family and student satisfaction results; and
7. If relevant, discuss how the school will evaluate the effectiveness of organizational partnerships or management service agreements.

E. Professional Development

General Overview: Describe the school's professional development plan and how the plan will address the diverse needs of administrators and teachers from year to year. Discuss how this plan will be implemented within the context of the proposed charter school's design.

Evaluation Criteria:

A response that meets the standard will:

1. Describe a high-quality professional development and training plan that is likely to support effective development and implementation of the education program and effectively address the needs of administrators and teachers;

⁶³ N.Y. Education Law § 2851(2)(f)

⁶⁴ N.Y. Education Law §3012-c: While not subject to the technical requirements of Education Law §3012-c, the Board of Regents strongly encourages all applicants for new public charters to design and implement a comprehensive annual evaluation system for the performance of classroom teachers and building principals.

⁶⁵ ESEA § 5203(b)(3)(C)(ii)

⁶⁶ Information related to teacher and leader support and evaluation is posted at [Engage NY Library](#) and [Great Teachers-Leaders](#).

2. Describe how the professional development and training plan will be evaluated and reviewed;
3. Describe how the school will ensure that administrators and teachers (new to teaching or experienced) will be prepared to address the needs of all students, particularly those students identified as at-risk of academic failure, students with disabilities, and English language learners;
4. Describe how the school intends to establish a professional climate that results in purposeful teaching and learning and leads to reasonable rates of retention for school administrators and teachers;
5. Describe any opportunities and the frequency of such opportunities for teacher planning and collaboration; and
6. Describe plans to build organizational capacity, and share resource, and best practices.

F. Facilities

General Overview: Facilities are one of the greatest challenges for charter schools, and applicant groups must demonstrate the capacity to find, secure, and maintain a suitable facility for their school, often for an organization that is growing over time. Provide information regarding the facility to be used by the school, including the location of the school, if known. If the facilities to be used by the proposed school are not known at the time the application is submitted, the applicant shall notify the Board of Regents within ten business days of acquiring facilities for such school. However, the charter school must obtain a certificate of occupancy for such facilities prior to the date on which instruction is to commence at the school.⁶⁷ If the applicant group is proposing to incubate or locate in NYCDOE public space, the applicant group must provide an alternate plan to secure private facilities.

Evaluation Criteria

A response that meets the standard will:

1. Demonstrate a sound understanding of facilities needs and present information regarding the facilities to be used by the school, including the location of the school, if known;
2. Discuss the school's facility needs based on the educational program and anticipated enrollment. If the applicants have identified a facility, provide a description including, at a minimum, the number and size of the classrooms, common areas, administrative areas, recreational space, and any community facilities necessary to implement the program as described;
3. Describe any residential facilities to be provided by the charter school⁶⁸;
4. Explain how the facility will meet the needs of students and provide an assurance that it will be accessible for students and adults with disabilities;

⁶⁷ N.Y. Education Law § 2851(2)(j)

⁶⁸ N.Y. Education Law § 2851(2)(w)

5. Include evidence that the proposed facility will be adequate, or present a plan for securing a facility that is appropriate and adequate for the school’s educational program, anticipated location, and target population;
6. Demonstrate knowledge of facilities costs including, as applicable, cost of purchasing, leasing, building, or renovating an educational facility that conforms to applicable health, safety, and occupancy requirements and demonstrate that the school’s plan for acquisition of a facility is financially viable. To the extent that the facility will require renovation or “build out,” describe those plans including anticipated timing and cost;
7. Present evidence to support facilities-related budget assumptions;
8. If the school intends to lease facilities from a school district or co-locate in an existing public school building pursuant to statute, discuss the status of those plans, provide evidence of any district commitment, and provide the school’s alternate plan to secure a facility should public space and/or co-location in the school district be unavailable; and
9. If a facility has not been identified, specify potential locations that are under consideration and discuss the process and timeline for selecting, acquiring, renovating (if appropriate), and taking occupancy of a suitable facility.

G. Insurance

General Overview: Provide information that demonstrates a solid plan to acquire insurance for the school including the types required, the costs involved, and the proven ability to get it.

Evaluation Criteria:

A response that meets the standard will:

1. Present information as to the types and amounts of insurance coverage to be obtained by the school, which shall include adequate insurance for liability, property loss and the personal injury of students⁶⁹;
2. Provide evidence of ability and preparation to obtain the appropriate insurance coverage; and
3. Include evidence to support the budget expense assumptions related to insuring the school.

H. Health, Food, and Transportation Services

General Overview: Charter schools must meet the same health and safety, civil rights, and student assessment requirements applicable to other public schools, except as otherwise specifically provided in the Charter Schools Act. Provide a description of the health services and food services to be provided to students attending school. Additionally, discuss the school’s plans for transportation of students, including how the school will arrange for transportation

⁶⁹N.Y. Education Law § 2851(2)(o)

for students who do not qualify for public school transportation under Education Law Section 3635, and any other supplemental transportation arrangements.⁷⁰

Evaluation Criteria

A response that meets the standard will:

1. Describe the health services the school plans to provide students attending the school⁷¹;
2. Describe the food services⁷² the school plans to provide to students attending the school, including whether the school will provide breakfast and/or snack in addition to lunch;
3. Indicate whether the charter school will participate in the Federal school lunch or school breakfast programs and/or whether the charter school will participate in the local school district's food service programs and whether food will be prepared on or off site;
4. Describe the means by which all students will be transported to and from the school, including how the school will arrange for transportation for students who do not qualify for public school transportation under Education Law Section 3635⁷³;
5. If the school will provide transportation to students, present a thorough, realistic, and cost-effective transportation plan; provide specific evidence of third party readiness and terms for providing transportation services consistent with the school's budget assumptions, including an assurance that it will provide special transportation and accommodations that are included in a student's IEP or 504 plan; and
6. If the school will not provide transportation to students, present a clear statement of the school's intent not to provide transportation services; describe viable transportation options for students; and describe contingency plans to provide transportation services that are included in a student's IEP or 504 Plan.

I. Family and Community Involvement

General Overview: Discuss the extent to which family and community members will be involved in the planning, implementation, and design of the school.

Evaluation Criteria:

A response that meets the standard will:

1. Present a vision and strategy for family and community involvement that is reasonably likely to further the school's mission and program;
2. Provide a description of how parents⁷⁴ and other members of the community will be involved in the planning, implementation, and program design of the charter school;
3. Describe your plans for cultivating family and community involvement and any specific steps you have already taken;

⁷⁰ N.Y. Education Law § 2851(2)(j); 2853(4)(b);

⁷¹ N.Y. Education Law § 2851(2)(r)

⁷² N.Y. Education Law §2851(2)(r)

⁷³ N.Y. Education Law §2851(2)(j)

⁷⁴ ESEA § 5203(b)(3)(E)

4. Describe the school's plan for community involvement in the school, including identifying specific organizations with which the school is either already working or likely to partner; and any plans for leveraging community resources to support implementation of the school's program and achievement of its mission and goals;
5. Provide evidence that anticipated partnerships are realistic and achievable; and
6. Describe any research or successful models that support the school's approach to family and community involvement.

J. Financial Management

General Overview: Charter schools are multi-million dollar organizations responsible for the appropriate and effective use of public funds. Applicant groups must demonstrate the capacity to establish and maintain the financial viability of the school over the entire charter term. Describe the systems and procedures in place to maintain the financial health of the school.

Evaluation Criteria:

A response that meets the standard will:

1. Demonstrate a keen understanding of the financial management needs and obligations of a charter school;
2. Present a budgeting process that will ensure financial viability of the school;
3. Demonstrate capacity to provide effective financial management and oversight, including development of adequate fiscal policies and procedures;
4. Present evidence that the school is prepared to adhere to generally accepted accounting practices;
5. Describe the school's process for conducting independent fiscal audits at least once annually, with such audits being comparable in scope to those required of other public schools⁷⁵;
6. Demonstrate understanding of the school's financial management obligations;
7. Present evidence that the school will have or has capacity to develop adequate policies and processes for tracking enrollment and attendance eligibility, eligibility for free- and reduced- priced lunch, and special education services and other services for special populations of students.

K. Budget and Cash Flow

General Overview: The statute requires the applicant to include a proposed budget and fiscal plan for the school, including supporting evidence that the fiscal plan is sound and that sufficient start-up funds will be available to the charter school. The plan should provide an understanding of how the applicants intend to develop and manage the school's infrastructure and finances. The plan should present a clear picture of the school's revenue projections,

⁷⁵ N.Y. Education Law § 2851(2)(f)

expenditure requirements, facility needs, transportation and food service plans, and pre-opening plan.

Use the Budget and Cash Flow Template to detail the school's estimated revenues and expenditures for the proposed term of the charter including the pre-operational start-up year, as well as a cash flow analysis for the start-up year. An active version of the template (including accompanying worksheets) may be downloaded from NYSED's website at [Budget and Cash Flow Templates](#). Templates may not be modified.

Include an explanation and discussion of key budget assumptions underlying the budget projections and explain how the budget aligns with and supports implementation of the educational program. If the school anticipates incurring debt for any reason, such as for acquisition of its facility, the budget must address the schedule for debt repayment and the budget discussion should elaborate on the repayment assumptions and plan.

Federal Charter School Program Grant

Upon Board of Regents approval and issuance of a charter and based upon the availability of funds, to receive a ***Charter School Program (CSP) Planning and Implementation Grant***, the charter authorization process serves as the substantive review process for CSP grant funds. Applicants, except those affiliated with CMOs that have received federal CSP funds through the Charter Schools Program (CSP) Grants for Replication and Expansion of High-Quality Charter Schools (CFDA 84.282M) (accessing both CSP funding streams is not permitted by the U.S. Department of Education), may include a grant amount of between \$550,000 and \$800,000 over a three year period (planning year, implementation year 1, implementation year 2) in the overall charter school budget and cash flow template. **Inclusion of CSP grant amounts greater than the \$550,000 base award should be considered carefully, as enhanced funding levels are not guaranteed.**

Discuss the school's contingency plans for cash flow challenges, a budget shortfall, lower than expected student enrollment or other financial challenges that you may foresee in the early years of operation.

Required Attachment:

- Attachment 9: Budget and Cash Flow Template.** Microsoft Excel Template can be found [Budget and Cash Flow Templates](#).
- Attachment 10: Evidence of Financial Support.** If the proposed budget relies on contributions, provide evidence of commitment for those contributions.

Evaluation Criteria:

A response that meets the standard will:

1. Present a proposed budget and fiscal plan for the school, including supporting evidence that the fiscal plan is sound and that sufficient start-up funds will be available to the charter school⁷⁶;
2. Present budget priorities that are consistent with and support key parts of the plan, including the school's mission, educational program, staffing and facility;
3. Provide for the establishment of an escrow account of no less than \$75,000 to pay for legal and audit expenses that would be associated with dissolution should it occur. The school may provide for the full amount in its first-year budget, or provide for a minimum of \$25,000 per year for the first three years of its charter term⁷⁷;
4. Present realistic, evidence-based revenue and expenditure assumptions, including any plan to incur and repay debt;
5. Present viable strategies for meeting potential budget and cash flow challenges, particularly for the first year of operation;
6. Demonstrate a commitment to maintaining the financial viability of the school; and
7. Describe the school's plan for sustainability beyond the start-up period and demonstrate understanding of the funding environment and the authorizer's role for charter schools in New York State.⁷⁸

L. Pre-Opening Plan

General Overview: Provide a Pre-Opening Plan with a timeline that documents key tasks to be completed between approval of the application and the opening of the school.

Evaluation Criteria:

A response that meets the standard will:

1. Demonstrate understanding of key pre-opening responsibilities consistent with the school's education, organizational and financial plans; and
2. Include a schedule for initiation, development and completion of those tasks, identify primary responsibility by individual or position, and document anticipated resource needs.

M. Dissolution Plan

Application Instructions: Discuss the procedures to be followed in the event of closure or dissolution of the school.

Evaluation Criteria:

A response that meets the standard will:

1. Identify procedures to be followed in the case of the closure or dissolution of the charter school, including provisions for the transfer of students and student records to

⁷⁶ N.Y. Education Law § 2851(2)(e)

⁷⁷ This escrow account is a requirement included in the charter agreements with the Board of Regents.

⁷⁸ ESEA § 5203(b)(3)(F)

the school district in which the charter school is located and for the disposition of the school's assets to the school district in which the charter school is located or another charter school located within the school district⁷⁹; and

2. Provide assurance that the school will follow any additional procedures required by NYSED to ensure an orderly closure and dissolution process, including compliance with the applicable requirements of Education Law §§2854(2)(t), 219 and 220 and any Closing Procedures specified by SED.

⁷⁹ N.Y. Education Law § 2851(2)(t)

IV. TABLE OF REQUIRED ATTACHMENTS

Note: Attachments are limited to 75 pages, excluding those marked with an asterisk (*). Page limits are suggested for each attachment below to help applicants keep within the total 75 page limit.

Attachment #	Title	Suggested Page Limits
Attachment 1	Admissions Policies and Procedures	5 pages
Attachment 2a	Initial Samples of Public Outreach	15 pages
Attachment 2b*	Evidence of Public Review Process	No limit, excluded from total attachment page limit
Attachment 2c*	Evidence of District Support for Restart/Turnaround	No limit, excluded from total attachment page limit
Attachment 3	Sample Exit Standards	No limit
Attachment 4a	Sample Weekly Student Schedule (ES, MS, and/or HS)	3 pages
Attachment 4b	Sample Weekly Teacher Schedule (ES, MS, and/or HS)	3 pages
Attachment 4c	Proposed First Year Calendar	2 pages
Attachment 4d	Student Discipline Policy	5 pages
Attachment 5a*	New Applicant and School Trustee Background Information Sheet (along with Resume, education credentials, and Statement of Assurance and Intent)	No limit, excluded from total attachment page limit
Attachment 5b	By-Laws	10 pages
Attachment 5c	Code of Ethics	5 pages
Attachment 6a*	If applicable: CMO Information	No limit, excluded from total attachment page limit
Attachment 6b*	If applicable: Proposed Management Contract with CMO	No limit, excluded from total attachment page limit
Attachment 6c*	Mandatory for existing Education Corporations or CMO's seeking to operate 1 or more schools: Strategic/Business Growth Plan	No limit, excluded from total attachment page limit
Attachment 7*	If applicable: Partnership Information	No limit, excluded from total attachment page limit
Attachment 8a	Hiring and Personnel Policies and Procedures	15 pages
Attachment 8b	Resume for Proposed School Leader, if identified	5 pages
Attachment 9*	Budget and Cash Flow Template	Use Excel Template
Attachment 10	Evidence of Financial Support	No limit
Table 1 and 1a*	Applicant Group Information	Use Table Provided
Table 2 and 2a*	Public Outreach Information	Use Table Provided
Table 3	Proposed Management and Staffing Plan	Use Table Provided

APPENDIX A: REVIEWER EVALUATION GUIDANCE AND RUBRIC

Reviewer Information: The evaluation rubric is designed to guide the review of charter school applications submitted to the Board of Regents. The evaluation rubric is aligned to each section and subsection of the application, and lists the evaluation criterion by which the reviewers are to evaluate each section and sub-section, mirroring the RFP. Throughout the evaluation, reviewers determine whether the applicant group has responded to all evaluation criterion and rate how well the applicant group's responses address the evaluation criterion. Reviewers are to rate the responses as **Does Not Meet the Standard, Approaches the Standard, or Meets the Standard** as defined below:

Does Not Meet the Standard	The response lacks meaningful detail; demonstrates lack of preparation; or otherwise raises substantial concerns about the applicant's understanding of the issue in concept and/or ability to meet the requirement in practice.
Approaches the Standard	The response addresses most of the selection criteria, but lacks some meaningful detail and requires important additional information in order to be reasonably comprehensive.
Meets the Standard	The response reflects a thorough understanding of key issues and indicates capacity to open and operate a quality charter school. It addresses the topic with specific and accurate information that shows thorough preparation and presents a clear, realistic picture of how the school expects to operate.

At the end of each sub-section, reviewers note key strengths and identify questions and areas of concern. Reviewers explain and elaborate on their respective ratings, providing summative ratings and comments for each section of the application and the application as a whole. Reviewer comments are essential and used to prepare feedback to the applicants, to prepare NYSED staff for the Capacity Interviews, and to inform final recommendations.

Reviewer Instructions:

- Read the relevant sub-section of the application and the corresponding bulleted evaluation criteria and indicate the rating that best fits your assessment of the response (*Does Not Meet, Approaches, or Meets the Standard*).
- Use the sub-section text boxes to identify key strengths and questions or concerns to identify areas of concern that impede your ability to have a full understanding of the proposed plan. Reference specific sections, page numbers, and evaluation criteria.
- Use the summary text boxes at the end of each section to highlight the key strengths and concerns that you have for that section of the application.
- At the end of the application, provide an overall rating for the application and insert your comments into the text boxes to support the rating. Reference the relevant sections, page numbers, and attachments.

APPENDIX B: SAMPLE PAGE FROM THE REVIEWER EVALUATION RUBRIC

Proposed School Name: _____

Reviewer Name: _____ **Review Date:** _____

SECTION I: MISSION, KEY DESIGN ELEMENTS, ENROLLMENT, AND COMMUNITY

A. Mission Statement and Objectives

General Overview: Provide a mission statement that defines the core purpose and key values of the school and informs the public about the students the school intends to serve. It should be consistent with high academic standards and be succinct and meaningful. A school’s mission statement provides the foundation for the entire charter application and for the full term of the school’s charter. The mission statement should be reflected throughout all sections of the application.

Briefly describe the school’s objectives and how the school will implement one or more of the objectives identified in the Charter Schools Act.

Evaluation Criteria:

A response that meets the standard will:

1. Present a mission statement that defines the purpose of the proposed charter school;
2. Describe the objectives of the charter school;
3. Explain how the school will materially further one or more of the objectives of the Charter Schools Act; and
4. Be reflected throughout all sections of the full application.

Rating of Section IA: Mission Statement and Objectives

Select a rating. If you would like to explain your rating or to make a comment, please use the text box that follows.

- Does Not Meet Standard**
- Approaches Standard**
- Meets Standard**

Comments (IA)

APPENDIX B: NEW YORK STATE STATUTORY PRIORITY SCORING RUBRIC

Priority Objective (1 – 4 Points Each)	Weight	Key Indicators	Primary Evidence Sources
1. The school will increase student achievement and decrease student achievement gaps in reading/language arts and mathematics. ⁸⁰	2	<ul style="list-style-type: none"> The academic program (curriculum, instructional design, and pedagogy) has strong potential to build student mastery in reading, literacy and mathematics concepts and skills. The academic program explicitly defines strategies to identify and accelerate the achievement of students who are below-level in reading and mathematics. The school’s assessment framework supports the implementation of accelerated instruction with valid and reliable information about student need and progress. The organizational structure of the school provides strong student support services. 	I. EDUCATIONAL PLAN A. Achievement Goals C. Curriculum and Instruction D. Assessment
2. The school will increase high school graduation rates and focus on serving specific high school student populations including, but not limited to, students at risk of not obtaining a high school diploma, re-enrolled high school drop-outs and students with academic skills below grade level. ⁸¹	2	<ul style="list-style-type: none"> Recruitment and retention strategies are specific to students who are at risk of dropping out or have dropped out of school. The core content and pedagogy of the academic program has the potential to meet the learning needs of at risk high school students. The school culture and student support services have the strong potential to engage and meet the needs of at risk high school students. 	IA. Mission IB. Key Design Elements IC. Enrollment, Recruitment II. EDUCATIONAL PLAN III.C. Management and Staffing III.E. Professional Development III.I. Parent and Community Involvement
3. The school will focus on the academic achievement of middle school students and prepare them for a successful transition to high school. ⁸²	1	<ul style="list-style-type: none"> The school will serve middle school students. The academic program (curriculum, instructional design and pedagogy) has strong potential to engage and increase the academic achievement of middle-school students. The school culture and program supports the social-emotional needs of young adolescents. The proposal includes explicit programs and approaches that are likely to support the effective transition to high school. 	IA. Mission IB. Key Design Elements IC. Enrollment, Recruitment II. EDUCATIONAL PLAN III.C. Management and Staffing III.E. Professional Development
4. The school will use high-quality assessments designed to measure a student’s knowledge, understanding of and ability to apply critical concepts through the use of a variety of item types and formats. ⁸³	1	<ul style="list-style-type: none"> The school’s assessment framework is comprehensive and includes a variety of screening, diagnostic, formative and summative measures of student learning. The assessments selected are valid and reliable measures. The proposal describes how assessments will provide student and classroom level information to teachers and administrators and how this information will be used to inform instruction. The proposal describes how assessment information will be used to evaluate the effectiveness of the educational program by school leaders. 	II.A. Achievement Goals II.D. Assessment II.E. Performance, Promotion, and Graduation Standards

⁸⁰ N.Y. Education Law § 2852(9-a)(c)(i)

⁸¹ N.Y. Education Law § 2852(9-a)(c)(ii)

⁸² N.Y. Education Law § 2852(9-a)(c)(iii)

⁸³ N.Y. Education Law § 2852(9-a)(c)(iv)

Priority Objective (1 – 4 Points Each)	Weight	Key Indicators	Primary Evidence Sources
5. The school will acquire, adopt and use local instructional improvement systems that provide teachers, principals and administrators with the information and resources they need to inform and improve their instructional practices, decision-making and overall effectiveness. ⁸⁴	1	<ul style="list-style-type: none"> • The proposal describes a process for review and revision of curriculum. • The proposal describes a systematic process by which student achievement information will be presented, analyzed and reviewed at classroom, grade and school levels. • The proposal describes a process for teacher and administrative performance evaluations based on objective information about instructional effectiveness. • The proposal describes the process for the development and ongoing evaluation of a professional development plan, on the basis of objective student and school performance information. • The proposal describes an objective process for evaluation of progress toward achievement of school mission and goals. 	II.A. Achievement Goals II.C. Curriculum and Instruction II.D. Assessment III.D. Evaluation III.E. Professional Development
6. The school will partner with low-performing public schools in the area to share best educational practices and innovations. ⁸⁵	2	<ul style="list-style-type: none"> • Low-performing public schools in the geographic area are identified. • The applicant demonstrates understanding of factors that contribute to low academic performance including feeder school patterns. • The proposal describes concrete partnership initiatives to share best practices and innovations. • Evidence is provided that plans to share best practices and innovations have been collaboratively developed with the low-performing public school. 	I.D. Community to be Served III.E. Professional Development III.I. Parent and Community Partnerships
7. The school will have the management and leadership techniques necessary to overcome initial start-up problems to establish a thriving, financially viable charter school. ⁸⁶	1	<ul style="list-style-type: none"> • Applicant group and proposed trustees provide evidence of experience in charter school launch and operation. • Applicant group and proposed trustees provide evidence of expertise in charter school finance. • A qualified school leader is identified to launch and lead the school. • The board by-laws embed a systematic approach by which the board of trustees will oversee school leadership and operation. 	III.A. Applicants Group Capacity III.B. board of trustees and Governance III.J. Financial Management III.K. Budget and Cash Flow
8. The application demonstrates that the school has the support of the school district in which the school will be located and the intent to establish an ongoing relationship with such district. ⁸⁷	2	<ul style="list-style-type: none"> • Concrete evidence of school district support is provided. • Promising efforts and plans to establish an ongoing relationship with the school district are described. 	I.D. Community to be Served I.E. Public Outreach III.I. Parent and Community Partnerships

⁸⁴ N.Y. Education Law § 2852(9-a)(c)(v)

⁸⁵ N.Y. Education Law § 2852(9-a)(c)(vi)

⁸⁶ N.Y. Education Law § 2852(9-a)(c)(vii)

⁸⁷ N.Y. Education Law § 2852(9-a)(c)(viii)

APPENDIX C: NEW YORK STATE CSP GRANT PRIORITIES BASED UPON AVAILABLE FUNDING

As part of New York State’s \$113 million federal CSP grant award, NYSED may provide grant funds to all applicants who are issued a charter by the Board of Regents, *except those applications affiliated with CMOs that have received federal CSP funds through the Charter Schools Program (CSP) Grants for and Expansion of High-Quality Charter Schools (CFDA 84.282M), since accessing both funding streams is not permitted by the U.S. Department of Education.* All successful applicants may expect to receive a base amount of \$550,000 over the planning period and first two implementation years of the school’s first charter term, contingent on the completion of additional grant-specific budget information and other requirements that will be requested from those applicants who are granted a charter. For more information, please refer to: [2016-2018 CSP Planning Implementation Grants](#).

In addition, New York State encourages the development of high-quality charter schools that meet specific needs, especially those of educationally disadvantaged students, and will make available the award of significantly increased start-up funding amounts for such programs. NYSED may provide enhanced awards for charters schools that meet two types of incentive priorities:

1. **Underserved student population priority.** New York State will provide awards of up to \$625,000 total to those charter schools that, by the October Basic Education Data System (BEDS) student data reporting date in their first year of operation, have met one or more of the enrollment targets for students with disabilities, English language learners, and economically disadvantaged students prescribed the by Board of Regents as required by §2852(9-b) of the Act.

2. **Authorizer program design priority.** As part of the integrated charter authorization and grant review process, NYSED may provide awards of up to \$800,000 total to charter schools that meet one or more program design priorities specified below. (Schools that meet more than one incentive priority may not receive more than \$800,000 of total CSP grant funding). Continuation funding at the enhanced incentive level during the implementation years of the 3-year start-up grant will be dependent on NYSED’s assessment of the school’s success in implementing the program design priority. Applications which meet one of the following program design priorities outlined below will be considered for the \$800,000 enhanced CSP funding level.

CSP DESIGN PRIORITY	PRIORITY INDICATORS
1. The school is specifically designed to meet the learning needs and raise the achievement of students who are English language learners.	<ul style="list-style-type: none"> • The mission is specific to the needs of English language learners. • Recruitment and retention strategies are specific to families of students who are English language learners. • The academic program (curriculum, instructional design, pedagogy) has strong potential to accelerate learning for English language learners.

CSP DESIGN PRIORITY	PRIORITY INDICATORS
	<ul style="list-style-type: none"> • The staffing plan, including teacher qualifications and skills, is likely to support the learning needs of English language learners.
<p>2. The school is specifically designed to meet the learning needs and raise the achievement of students with disabilities.</p>	<ul style="list-style-type: none"> • Mission is specific to the needs of students with identified or probable disabilities. • Recruitment and retention strategies are specific to students with identified or probable disabilities. • The academic program (curriculum, instructional design, pedagogy) has strong potential to be effective with the target population(s). • The staffing plan, including teacher qualifications and skills, is likely to support the learning needs of the target population(s).
<p>3. The school is specifically designed to meet the learning needs and raise the achievement of over-age, under-credited students.</p>	<ul style="list-style-type: none"> • The school’s mission is specific to the needs of over-age, under-credited students. • Recruitment and retention strategies are specific to over-age, under-credited students. • The academic program (curriculum, instructional design, pedagogy) has strong potential to be effective with the target population(s). • The staffing plan, including teacher qualifications and skills, is likely to support the learning needs of the target population(s). • The school is designed to offer an individualized learning environment; rigorous academic standards; student-centered instruction; support to meet students' academic and developmental goals; and explicit connections to college and career readiness.
<p>4. The school will serve students who are at-risk of academic failure because they reside in a community that is served by a persistently low-achieving school.</p>	<ul style="list-style-type: none"> • The applicant identifies persistently low-achieving schools in the targeted community. • The application includes a letter of support from the school district indicating support of the proposed school as a high-quality educational option for students in at least one of the district’s low performing schools. • The school’s enrollment and retention plan targets students who are at-risk of academic failure because they are attending a low-achieving school. • The academic program (curriculum, instructional program, pedagogy) is designed to meet the learning needs of students who are likely to have below-level mastery in reading/ELA, mathematics and academic core subjects.
<p>5. The school is approved by the public school district to operate as a turnaround or restart school.</p>	<ul style="list-style-type: none"> • The school will serve as a successor to a low-achieving school that is being phased out, closed, transformed, turned around or restarted by the district. • The application includes a letter of verification from the superintendent of the district of location.
<p>6. The school will provide an educational option for students in rural geographic areas.</p>	<ul style="list-style-type: none"> • The school will be located in a rural community with limited educational options. • The school will provide a program that is distinctive from

CSP DESIGN PRIORITY	PRIORITY INDICATORS
<p>7. Improving productivity through innovative use of technology to provide blended learning.</p>	<p>other educational options in the area.</p> <p>The school provides evidence of a carefully designed blended or online program that:</p> <ul style="list-style-type: none"> • Outlines how students will complete a unit of study and demonstrate mastery of the learning outcomes for the subject, including passing the Regents examination in the subject or other assessment required for graduation, if applicable. • Demonstrates that: (a) courses are aligned with the applicable New York State Learning Standards for the subject area, (b) courses provide for documentation of student mastery of the learning outcomes for the subjects, (c) instruction is delivered by and/or under the direction/ supervision of a qualified teacher with appropriate expertise in both the subject area and the instructional modality, and (d) the program includes regular and substantive interaction between the student and the teacher providing direction and/or supervision.
<p>8. The school’s program will promote a racially, ethnically, and linguistically diverse student population.</p>	<ul style="list-style-type: none"> • The school demonstrates a comprehensive outreach plan, using multiple languages and strategies, to fully and deliberately inform families of diverse racial, ethnic and linguistic groups about the school. • The school will provide specialized program designs (e.g., arts-infused, democratic education) likely to promote a racially diverse student population, by appealing to a variety of racial, ethnic and linguistic groups. • The school provides a compelling demographic and geographic analysis that supports the likelihood that the proposed school location is likely to promote a racially diverse student population. • The school provides a plan for an organizational or transportation model that would encourage students to cross boundaries of racially distinct neighborhoods (more robust and more specific beyond the statutory requirements in the Charter Schools Act).
<p>9. The school will replicate an existing, high-quality school model.</p>	<ul style="list-style-type: none"> • The application includes information about the market need for the new school and the impact on the existing school. • The school to be replicated has met student achievement indicators for academic growth, proficiency and college and career readiness on State standards and achievement goals outlined in the school’s charter over the initial or prior charter term. • The governance, staffing, operational and financial plan for the proposed school supports the likelihood that the proposed school and the existing school will have the capacity to open and meet performance expectations.

APPENDIX D: LIST OF MOST COMMON PITFALLS

1. Failure to conduct sufficient public outreach to community and stakeholder groups.
2. Failure to continue public outreach during the course of the application process.
3. Plagiarizing from applications previously submitted by other applicant groups.
4. Resubmission of the applicant's previously rejected application with corrections, instead of submitting a revised proposal.
5. Failure to demonstrate knowledge of relevant laws, rules, and regulations.
6. Failure to submit a response to every numbered prompt in each section of the application.
7. Failure to provide a detailed, clear, consistent, and cohesive application.
8. Failure to follow application instructions, including guidelines for font, formatting, document length, size, and content.
9. Failure of the applicant group to review the RFP and application to ensure compliance with all requirements, and demonstrate knowledge and agreement with all aspects of the application.
10. Waiting until the day of the deadline to upload and submit documents.

ATTACHMENT 6C: BUSINESS PLAN

General Overview: The existing education corporation or charter management organization that seeks to operate multiple charter schools and/or add to a network of existing charter schools, whether these schools are in New York State or another state, is required to include a strategic business/growth plan with the full application to demonstrate capacity to take on additional schools. The business plan should provide the following information:

Charter schools that replicate can implement a variety of organizational structures to ensure the efficient operation of multiple schools. These structures may include, but are not limited to, the creation of a CMO, a shared services team, or merging education corporations. For the purposes of the new school RFP, these entities are referred to collectively as Comprehensive Management Organizations. See [Definition of Entities Providing Comprehensive Management Services](#).

A. Education Corporation or CMO Information:

1. Name of Education Corporation or Charter Management Organization;
2. Role of Education Corporation or Charter Management Organization;
3. State of incorporation;
4. State(s) in which Education Corporation or Charter Management Organization operates;
5. Year founded; and,
6. Primary contact name, address, phone number, and email address.

B. Education Corporation or CMO Overview of Growth Plan:

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

11. Discuss lessons learned during past replication efforts, for example: identify particular challenges encountered and how the organization addressed them, as well as how the organization would minimize such challenges for the proposed schools.

C. Performance of Existing Schools:

12. Provide the last three years of academic performance data for each school, including state testing results and high school graduation rates as compared to their districts of location and state averages, if applicable.
13. Provide sub-group enrollment figures for each school for English language learners, students with disabilities, and economically disadvantaged students. Include the comparable enrollment figures for each school's district of location and the variance between the school and the district. If the variance is negative for a sub-group, include good faith efforts made by each school towards enrolling a comparable number of the students in the sub-groups affected.
14. Explain how the proposed school will be similar and different from the other schools in the network, including community and target student population, education program, enrollment, and staffing plan.
15. Explain the rationale for and benefits of participating in the network.
16. Describe any shared resources, including staff. Explain how costs for these resources will be allocated among schools.
17. Describe the governance and management plan for the networked schools that ensures effective oversight and accountability. If the network will be governed by a single board, explain how it will provide oversight of individual schools and resolve competing interests between schools.
18. Explain how the school's board of trustees will evaluate the value of participating in the network.

D. Market Analysis and Selection of Target Communities:

19. Describe how the target communities in New York State were identified and selected as attractive markets to the Education Corporation or CMO. If the existing portfolio does not include schools in New York, provide the rationale for entering New York.
20. Discuss the Education Corp or CMO's competition for students and staff in the target communities, assess student demand, and describe the organization's competitive advantages.

Organizational Capacity:

21. Explain the governance structure of the organization and its relationship to the education corporation and existing school governance structure(s).
22. Explain how the education corporation board will manage any centralized functions and/or, articulate the responsibilities of each governance entity, the relationship between them, and any members that they would have in common.
23. Provide evidence and describe experiences that reflect the team's capacity to realize the proposed expansion.

Attachments:

Provide all of the following with the business plan narrative:

- A. **By-laws:** Include the organization's current by-laws.
- B. **Meeting schedule:** Provide a copy of the Comprehensive Management Organization's board meeting schedule for the current year or school year, and a proposed schedule for the first year of operation of the proposed new school.
- C. **Organizational Chart:** Provide an Organizational Chart that shows the staffing structure and reporting responsibilities for the organization's board, administration, and staff. If not previously included in the application, resumes for applicable staff may be included.
- D. **Management Contracts:** 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 Charter Management Organization (CMO), then describe which centralized services the organization would offer, how costs would be allocated to the various schools, and how the schools will pay for those services. If there would be a contract or a shared services agreement, provide the most recent executed agreement as well as any new proposed agreement. If the parties are still negotiating some provisions, provide a draft agreement.
- E. **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 budget, then 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 and note any restrictions on the funds, but does not need to cite actual funding amounts.
- F. **Consolidated Financial Reports:** Provide copies of, or other access to, the three most recent annual consolidated audited financial reports, including management or advisory letters and related notes. Provide the same information for related entities, subsidiaries, real estate or other service entities that would provide goods or services to the charter school or the organization.
- G. **Audited Financial Statements:** For the Comprehensive Management Organization and all charter schools operated by the Comprehensive Management Organization, provide copies of, or other access to, all audited financial statements and all management or advisory letters issued during the previous three years by any independent auditors who prepared the audited financial statements or any governmental agency (i.e. the NYC or NYS Comptroller) that conducted an audit. Be sure to include any out of state charter school audited financial statements.

- H. **Form 990s:** Provide copies of, or other access to, all IRS Form 990s filed during the previous three years by the organization including any non-SUNY authorized charter school education corporations operating a school presently managed by the organization.
- I. **Authorization to do Business in New York State:** Provide evidence that 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 New York State Board of Regents.
- J. **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.
- K. **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 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.
- L. **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 demand, any response to the demand, and results of the arbitration or litigation.