CORE RESOURCE

REPLICATION APPLICATION

ADDENDUM

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NATIONAL ASSOCIATION OF
CHARTER SCHOOL AUTHORIZERS

REPLICATION APPLICATION ADDENDUM

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INSTRUCTIONS

This addendum to the *Core Charter School Application* is required of any applicant seeking any of the following:

- approval for multiple schools
- replication of existing schools or school models
- governance of multiple schools by a single board of directors
- school operation/management via contract with a third-party education service provider (ESP)

An ESP is any third-party entity, whether nonprofit or for-profit, that provides comprehensive education management services to a school via contract with the school's governing board.

Complete each section as applicable. All applicable sections must be completed in order for the application as a whole to be considered complete. **Proposal Information, the Proposal Overview, and Section 1 are required of all applicants to whom this addendum applies.***

Section 2 is required of any applicant seeking:

- approval for multiple schools
- replication of existing schools or school models
- governance of multiple schools by a single board of directors, including applicants seeking approval for multiple schools who are intending to contract with a third-party education service provider

If an applicant believes that a particular question in this section is not applicable to their proposal, the applicant should so state and explain why the applicant believes the particular question does not apply.

Section 3 is required of any applicant intending to replicate an existing school or school model, including applicants that are part of a CMO or network or who intend to contract with a third-party education service provider.

Section 4 is required of any applicant intending to contract with a third-party ESP, regardless of whether the applicant is applying to open one or more schools.

*Note: If an applicant is unsure as to whether or not a particular section is required, it is the applicant's responsibility to contact the authorizer for guidance.

PROPOSAL INFORMATION

Name of proposed school: _____

Primary contact person: _____

Is the applicant seeking approval for more than one school? ☐ Yes ☐ No

Does the school intend to contract with a third-party education service provider (ESP) to manage the educational program and operations of the school? ☐ Yes ☐ No

If yes, identify the ESP or other partner organization*: _____

Does the school intend to partner or be affiliated with an existing or planned charter management organization (CMO) through which a single governing board governs or will govern multiple schools?
☐ Yes ☐ No

If yes, identify the CMO or other partner organization*: _____

*Note: The term "organization" as used throughout this addendum applies to any applicant or partnership among groups applying to replicate a school model. Thus, it may include an existing school or group of schools proposing to replicate; an existing school network or charter management organization (CMO) applying directly for a charter; a governing board proposing to contract with a CMO or other education service provider (ESP); or other entities and arrangements. *In the case of an applicant proposing to contract or partner with a service provider, applicants should provide requested information for both entities if applicable.*

PROPOSAL OVERVIEW

ORGANIZATION MISSION AND VISION
Provide the mission of the school network, charter management organization (CMO), or education service provider (ESP), and explain how creation of the proposed school or schools fits within this mission.

ORGANIZATION STRATEGIC VISION AND GROWTH PLANS
Provide an overview of the organization's strategic vision, five-year growth plan, and rationale for developing new schools or replicating an existing school or model. Briefly describe the communities where the organization is seeking approval to expand and explain how each proposed school would meet identified needs in its respective community.

ANTICIPATED POPULATION AND EDUCATIONAL NEED
Describe the student populations and educational needs served by any existing schools operated by the applicant or proposed ESP, and the anticipated populations and needs for each proposed school.

EDUCATIONAL PLAN AND SCHOOL DESIGN
Provide an overview of the education program proposed for replication, including key non-negotiables of the education model. Briefly explain how and why the program was selected for replication, and the research base and performance record that demonstrates the school model will be successful in improving academic achievement for the targeted student population.

SECTION 1. CURRICULUM AND INSTRUCTIONAL DESIGN SUPPLEMENT
NOTE: *This addendum section is required of ALL applicants seeking approval for multiple schools, replication of existing schools or school models, or governance of multiple schools by a single board of directors, including applicants intending to contract with a third-party ESP.*

1. Describe the curriculum and basic learning environment (e.g., classroom-based, independent study), including class size and structure for all divisions (elementary, middle, high school) to be served, and explain any differences among the schools being proposed.
2. Explain the organization's approach to replicating and implementing the school model, including curriculum and instructional design among multiple schools.
3. Describe any key educational features that will differ from the operator's or management provider's existing schools or schools proposed for replication, not already discussed above. Explain the rationale for the variation in approach and any new resources the variation would require.

SECTION 2. APPLICATIONS FOR MULTIPLE SCHOOLS AND APPLICATIONS FROM CHARTER MANAGEMENT ORGANIZATIONS OR NETWORKS

NOTE: *This section is required of all applicants seeking approval for multiple schools, replication of existing schools or school models, and governance of multiple schools by a single board of directors, including applicants seeking approval of multiple schools who are intending to contract with a third-party ESP. If an applicant believes that a particular question in this section is not applicable to their proposal, the applicant should so state and explain why the applicant believes the question does not apply.*

NETWORK VISION, GROWTH PLAN, & CAPACITY

1. Describe the organization or network strategic vision, desired impact, and five-year growth plan for developing new schools within the local community, state and region, including other states if applicable. Include the following information, regardless of school location: proposed years of opening; number and types of schools (divisions, grade levels served); any pending applications; all currently targeted markets/communities and criteria for selecting them; and projected enrollments.
2. If the existing portfolio or growth plan includes schools in other states, explain specifically how growth within the authorizer's state fits into the overall growth plan.
3. Provide evidence of organizational capacity to open and operate high-quality schools in the authorizer's state and elsewhere in accordance with the overall growth plan. Outline specific timelines for building or deploying organizational capacity to support the proposed schools.
4. Discuss the results of past replication efforts and lessons learned – including particular challenges or troubles encountered; how you have addressed them; and how you will avoid or minimize such challenges for the proposed schools.
5. List any schools that were previously approved by this or another authorizer but which failed to open or did not open on time, and explain the reasons for the failure or delay.
6. Discuss the greatest anticipated risks and challenges to achieving the organization's desired outcomes in the authorizer's state over the next five years and how the organization will meet these challenges and mitigate risks.
7. Provide, as **Attachment A1**, the organization's annual reports for the last two years and any current business plan for the organization or network.

NETWORK MANAGEMENT

1. Identify the organization's leadership team and their specific roles and responsibilities.
2. Explain any shared or centralized support services the network organization will provide to schools in the authorizer's state. Describe the structure, specific services to be provided, the cost of those services, how costs will be allocated among schools, and specific service goals. How will the organization measure successful delivery of these services? (In the case of a governing board proposing to contract with a management organization, service goals should be outlined in the term sheet and draft contract to be provided in **Attachment A2**.)
3. Using the table below, summarize school- and organization-level decision-making responsibilities as they relate to key functions, including curriculum, professional development, culture, staffing, etc.

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FUNCTION	NETWORK/MANAGEMENT ORGANIZATION DECISION-MAKING	SCHOOL DECISION-MAKING
Performance Goals		
Curriculum		
Professional Development		
Data Management and Interim Assessments		
Promotion Criteria		
Culture		
Budgeting, Finance, and Accounting		
Student Recruitment		
School Staff Recruitment and Hiring		
H/R Services (payroll, benefits, etc.)		
Development/Fundraising		
Community Relations		
I/T		
Facilities Management		
Vendor Management/Procurement		
Other Operational Services, if applicable		

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4.   Provide, as **Attachment A3**, the following organization charts:
- Year 1 network as a whole (including both network management and schools within the network)
- Year 3 network as a whole
- Year 5 network as a whole

The organization charts should clearly delineate the roles and responsibilities of – and lines of authority and reporting among – the governing board, staff, any related bodies (such as advisory bodies or parent/teacher councils), and any external organizations that will play a role in managing the schools. The school-level organization charts should likewise present clear lines of authority and reporting within the school. If the school intends to contract with a charter management organization or other education management provider, clearly show the provider's role in the organizational structure of the school. Explain how the relationship between the governing board and school administration will be managed.

NETWORK GOVERNANCE AND LEGAL STATUS

1.   Explain what entity will hold the charter for each of the proposed schools.
2.   Describe the governance structure at both the network and individual school levels and the plan for satisfying all applicable statutory and authorizer requirements for composition of charter school governing boards. Explain whether each school/campus will have an independent governing board, whether there will be a single network-level board governing multiple schools, or both a network-level board and boards at individual schools. If there will be both a network-level board and boards at each school, describe the organizational relationship between the boards, the legal status of each board, and the scope of authority of each. If each school will have an independent governing board but no network-level board, explain how the network will be governed and how decisions that affect the network as a whole will be made.
3.   If the existing board will govern the proposed school(s), discuss the plan to transform that board's membership, mission and bylaws to support the charter school expansion/replication plan. Describe the plan and timeline for completing the transition and orienting the board to its new duties. If a new board will be formed, describe how and when the new board will be created and what, if anything, its ongoing relationship to the existing non-profit's board will be.
4.   Describe plans for increasing the capacity of the governing board. How will the board expand and develop over time? How and on what timeline will new members be recruited and added, and how will vacancies be filled? What are the priorities for recruitment of additional board members? What kinds of orientation or training will new board members receive, and what kinds of ongoing development will existing board members receive? The plan for training and development should include a timetable, specific topics to be addressed, and requirements for participation. If there will be a network-level board, identify any board development requirements relative to the organization's proposed growth and governance needs.
5.   Explain how the interests of individual schools will be balanced with network interests and how key stakeholders will be represented.
6.   Explain how this governance structure and composition will help ensure that a) the school will be an educational and operational success; and b) the board will evaluate the success of the school and school leader.

NETWORK LEADERSHIP PIPELINE

Describe the operator's current or planned process for sourcing and training potential school leaders for schools opening in subsequent years. Explain how you have developed or plan to establish a pipeline of potential leaders for the network as a whole. If known, identify candidates already in the pipeline for future positions.

NETWORK-WIDE STAFFING

Complete the following table indicating projected staffing needs for the entire network over the next five years. Include full-time staff and contract support that serve the network 50% or more. Change or add functions and titles as needed to reflect organizational plans.

Year	Year 1	Year 2	Year 3	Year 4	Year 5
Number of Elementary Schools					
Number of High Schools					
Total Schools					
Student Enrollment					
Management Organizations Positions					
[specify]					
[specify]					
[specify]					
[specify]					
[specify]					
[specify]					
[specify]					
[specify]					
Total Back-office FTEs					
Elementary School Staff					
Principals					
Assistant Principals					
Add'l School Leadership Position 1 [specify]					

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Add'l School Leadership Position 2 [specify]					
Add'l School Leadership Position 3 [specify]					
Classroom Teachers (Core Subjects)					
Classroom Teachers (Specials)					
Student Support Position 1 [e.g. Social Worker]					
Student Support Position 2 [specify]					
Specialized School Staff 1 [specify]					
Specialized School Staff 2 [specify]					
Teacher Aides and Assistants					
School Operations Support Staff					
Total FTEs at elementary schools					
High School Staff					
Principals					
Assistant Principals					
Deans					
Add'l School Leadership Position 1 [specify]					
Add'l School Leadership Position 2 [specify]					
Add'l School Leadership Position 3 [specify]					
Classroom Teachers (Core Subjects)					
Classroom Teachers (Specials)					
Student Support Position 1 [e.g., Social Worker]					
Student Support Position 2 [specify]					

	Year 1	Year 2	Year 3	Year 4	Year 5
Specialized School Staff 1 [specify]					
Specialized School Staff 2 [specify]					
Teacher Aides and Assistants					
School Operations Support Staff					
Total FTEs at high schools					
Total network FTEs					

SCHOOL STAFF STRUCTURE

1. Explain how the relationship between the school's senior administrative team and the rest of the staff will be managed. Note the teacher-student ratio, as well as the ratio of total adults to students for a "typical" school.
2. Complete the table(s) below outlining your school staffing rollout plan for a "typical" elementary school and/or a "typical" high school, as applicable. Adjust or add functions and titles as needed. Modify the tables, as needed, to reflect variations in school models. If the proposed schools will use a staffing model that diverges from the operator's norm, please explain.

NEW ELEMENTARY SCHOOL STAFFING MODEL AND ROLLOUT

Year	Year 1	Year 2	Year 3	Year 4	Year 5
Principal					
Assistant Principal					
Add'l School Leadership Position 1 [specify]					
Add'l School Leadership Position 2 [specify]					
Add'l School Leadership Position 3 [specify]					
Classroom Teachers (Core Subjects)					
Classroom Teachers (Specials)					
Student Support Position 1 [e.g. Social Worker]					
Student Support Position 2 [specify]					

Specialized School Staff 1 [specify]					
Specialized School Staff 2 [specify]					
Teacher Aides and Assistants					
School Operations Support Staff					
Total FTEs					

NEW HIGH SCHOOL STAFFING MODEL AND ROLLOUT

Year	Year 1	Year 2	Year 3	Year 4	Year 5
Principal					
Assistant Principal					
Dean(s)					
Add'l School Leadership Position 1 [specify]					
Add'l School Leadership Position 2 [specify]					
Add'l School Leadership Position 3 [specify]					
Classroom Teachers (Core Subjects)					
Classroom Teachers (Specials)					
Student Support Position 1 [e.g. Social Worker]					
Student Support Position 2 [specify]					
Specialized School Staff 1 [specify]					
Specialized School Staff 2 [specify]					
Teacher Aides and Assistants					
School Operations Support Staff					
Total FTEs					

NETWORK PERFORMANCE MANAGEMENT

1. Describe the organization's approach to academic underperformance for schools that fall short of student academic achievement expectations or goals at the school-wide, classroom, or individual student level.
2. Describe the organization's plans to monitor performance of the portfolio as a whole. What actions will you take if the network as a whole fails to meet goals? Discuss how the organization assesses its readiness to grow and under what circumstances the organization will delay or modify its growth plan.

SECTION 3. PERFORMANCE EVALUATION INFORMATION

NOTE: *This section is required of any applicant intending to replicate an existing school or school model, including applicants that are part of a charter management organization or network or who intend to contract with a third-party education service provider.*

NOTE: The authorizer will use the information provided in this section to assess the academic, organizational, and financial performance record of the organization, and the organization's schools or the school model that the organization proposes to replicate. The applicant must provide all of the requested information for all of its organization's schools or the schools it proposes to replicate. The authorizer will then select a subset of schools for which the applicant will be required to provide additional performance information, including academic proficiency and growth data, recent renewal evaluations and site visit reports, and multiple years of independent financial audits reports.

As explained above, the term "organization" as used throughout this addendum applies to any applicant or partnership among groups applying to replicate a school model. Thus, it may include an existing school or group of schools proposing to replicate; an existing school network or charter management organization (CMO) applying directly for a charter; a governing board proposing to contract with a CMO or other education service provider (ESP); or other entities and arrangements.

1. Using the *Existing Schools Information Template* as **Attachment A4**, provide all requested information for each of the organization's schools.
2. Select one or more of the consistently high-performing schools that the organization operates, and discuss the school's performance. Be specific about the results on which you base your judgment that the school is high-performing. Include student achievement status, growth, absolute, and comparative academic results, as available.
   a. Discuss the primary causes to which you attribute the school's distinctive performance.
   b. (b) Discuss any notable challenges that the school has overcome in achieving its results.
   c. (c) Identify any ways in which the school's success has informed or affected how other schools in the network operate. Explain how the effective practice or structure or strategy was identified and how it was implemented elsewhere in the network.

4. Select one or more of the organization's schools whose performance is relatively low or not satisfactory and discuss the school's performance. Be specific about the results on which you base your judgment that performance is unsatisfactory. Include student status, growth, absolute, and comparative academic results, as available.

   a. Describe the primary causes to which you attribute the school's problems.

   b. Explain the specific strategies that you are employing to improve performance.

   c. How will you know when performance is satisfactory?

   d. What are your expectations for satisfactory performance in terms of performance levels and timing?

5. Provide as **Attachment A5**, the most recent internal financial statements, including balance sheets and income statements for the organization and any related business entities. Be sure that the school level, ESP/CMO level, and the overall operations are distinctly represented.

6. For the organization as a whole and any related business entities, provide the following as **Attachment A6**: (a) the last three years of independent financial audit reports and management letters; and (b) the most recent internal financial statements, including balance sheets and income statements. Be sure that the ESP/CMO level and the overall operations are distinctly represented.

7. List any contracts with charter schools that have been terminated by either the organization or the school, including the reason(s) for such termination and whether the termination was for "material breach."

8. List any and all charter revocations, non-renewals, shortened or conditional renewals, or withdrawals/non-openings of schools operated by the organization, and explain what caused these actions.

9. Explain any performance deficiencies or compliance violations that have led to formal authorizer intervention with any school operated by the organization in the last three years, and explain how such deficiencies or violations were resolved.

10. Identify any current or past litigation, including arbitration proceedings, by school, that has involved the organization or any charter schools it operates. If applicable, provide in **Attachment A7** (1) the demand, (2) any response to the demand, and (3) the results of the arbitration or litigation.

SECTION 4. THIRD-PARTY EDUCATION SERVICE PROVIDERS

NOTE: *This section is required of any applicant intending to contract with an Education Service Provider (ESP). An ESP is any third-party entity, whether nonprofit or for-profit, that provides comprehensive education management services to a school via contract with the school's governing board. If the applicant intends to contract with an ESP, provide the following additional information.*

THIRD-PARTY ESP SELECTION

1. Explain why the applicant is seeking to contract with an ESP rather than operate the school(s) directly.
2. Explain how and why the ESP was selected, including when and how the applicant learned of the ESP, which other ESPs were considered, why the ESP was selected over other ESPs, and what due diligence was conducted.

THIRD-PARTY ESP TRACK RECORD

1. Explain the ESP's success in serving student populations similar to the target population of the school. Describe the ESP's demonstrated academic track record as well as successful management of non-academic school functions (e.g., back-office services, school operations, extracurricular programs). Provide summary information from reference checks conducted by the applicant (regarding the third-party ESP), identifying each reference.
2. List all schools operated by the ESP. Identify those schools that serve the same grade levels and student populations demographically similar to the anticipated population of the proposed school. Include name, year opened, contact information, location, number of students, and contact information for the authorizer for each currently operating school. If the ESP operates more than 10 applicable schools, list only the 10 most relevant schools.
3. Provide evidence of the financial health of the ESP. Attach as **Attachment A8** the most recent independent financial audit report of the ESP and its most recent annual report.
4. List and explain any management contract terminations as well as any charter revocations, non-renewals or withdrawals/non-openings that the proposed ESP has experienced in the past five (5) years.

LEGAL RELATIONSHIPS

1. Provide evidence that the board is independent from the ESP and self-governing, including evidence of independent legal representation and arm's-length negotiating.
2. Describe any existing or potential conflicts of interest between the school's governing board, proposed school employees, proposed ESP, and any affiliated business entities.
3. List all subsidiaries or related entities that are affiliated or owned in whole or in part by the ESP, and identify the nature of those entities' business activities.
4. Explain whether the school has or will have any relationship with or receive any services from any of the entities listed in the previous question.
5. Explain the supervisory responsibilities of the ESP (if any), including which school employees the ESP will supervise, how the ESP will supervise these employees, and how the charter school board will oversee the ESP's supervisory responsibilities.
6. If the school's governing board intends to execute promissory notes or other negotiable instruments, or enter into a lease, lease-purchase agreement or any other facility or financing relationships with the ESP, provide evidence that such agreements are separately documented and not part of or incorporated in the school management contract. Any facility or financing agreements

must be consistent with the school governing board's authority and practical ability to terminate the management agreement and continue operation of the school.

7. Describe and provide documentation of any loans, grants, or investments made between the ESP and the school, including an explanation of how any such loans, grants, or investments may be initiated, repaid, and refused by the school.

ORGANIZATIONAL STRUCTURE

1. Provide a detailed description of the roles and responsibilities of the ESP.
2. Describe the scope of services and costs of all resources to be provided by the ESP.
3. Describe the oversight and evaluation methods that the Board will use to oversee the ESP. What are the school-wide and student achievement results that the management organization is responsible for achieving? How often, and in what ways, will the board review and evaluate the ESP's progress toward achieving agreed-upon goals? Will there be an external evaluator to assess the ESP's performance? What are the conditions, standards, and procedures for board intervention, if the management organization's performance is deemed unsatisfactory?
4. Describe the compensation structure and payment schedule, including clear identification of all fees, bonuses, and any other compensation to be paid to the ESP.
5. Describe the respective financial responsibilities of the school governing board and the ESP. Who will own property purchased with public funds? Which operating and capital expenditures will each party be responsible for? What types of spending decisions can the management organization make without obtaining board approval? What reports must the ESP submit to the board on financial performance, and on what schedule? How will the school governing board provide financial oversight?
6. What is the term (duration) of the management agreement? Explain the conditions and procedures (including time frames, notice, and decision-making procedures) for renewal and termination of the contract. How often will the management agreement be renewed? Describe the conditions that both the ESP and the school must satisfy for the management agreement to be renewed. On what grounds may the ESP or the school terminate the management agreement for cause, and without cause? List any indemnification provisions in the event of default or breach by either party.
7. Describe the plan for the operation of the school in the event of termination of the management agreement.
8. Provide as **Attachment A9** a draft of the proposed management agreement with the ESP.

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About NACSA
The National Association of Charter School Authorizers (NACSA) is dedicated to improving the quality of public education by improving the performance of charter school authorizers. NACSA is the oldest national organization devoted exclusively to strengthening charter schools by developing outstanding authorizers and is the trusted resource and innovative leader working with public officials and education leaders to increase the number of high-quality charter schools in cities and states across the nation. NACSA provides training, consulting, and policy guidance to authorizers and education leaders interested in increasing the number of high-quality schools and improving student outcomes.

About NACSA's Knowledge Core
NACSA's Knowledge Core is a new interactive web-based knowledge and learning portal designed to serve the professional needs of both novice and experienced charter school authorizers in carrying out their complex work. From the basics of authorizing to advanced topics, NACSA's Knowledge Core provides a rich array of core authorizing resources, training, guidance, practical tools, and professional networking opportunities to deepen NACSA members' knowledge and help them meet NACSA's *Principles & Standards for Quality Charter Authorizing*. NACSA's Knowledge Core includes short interactive courses and self-paced, multimedia learning modules; easy-to-customize templates, protocols, and policies; a dashboard to track individual learning progress; and a discussion forum and searchable peer network to facilitate knowledge sharing among members.