

# Enrollment Cap Amendment Request

## Purpose

The *Enrollment Cap Amendment Request* is used to increase or decrease the number of students the charter holder may serve at its school(s). The request must be submitted timely so that it may be processed within the time frame provided in Rule and implemented according to the ADE School Finance Policy SF-0001—Charter Enrollment Cap Amendments. A change in the enrollment cap is not effective until approved by the Board.

*Before submitting this request, **ensure the charter holder is in compliance per the Board's [policy](#)**. If a charter holder is not in compliance, the request may be deemed incomplete and the non-compliance may be recorded on the charter holder's operational dashboard.*

## Determining Eligibility

To determine whether your charter is eligible to expand, a charter holder, its Associated Schools and Associated Charters (as applicable) must meet eligibility criteria based on its performance on the academic, financial, and operational dashboards. These criteria are found in "Eligibility Criteria" in [The Guide](#).

An eligible charter holder may submit a request to **increase** the enrollment cap for up to three fiscal years of projected student enrollment.

Any charter holder may submit a request to **decrease** the number of students served.

## Board Consideration

A substantively complete amendment request submitted by a charter holder that meets the eligibility criteria shall be placed on the agenda of a regular Board meeting. A finding that the charter holder is not in compliance in one or more operational areas may result in a delay in consideration of the request.

If a charter holder is eligible to submit a request, it must maintain eligibility prior to Board consideration. For information on maintaining eligibility go to the section on "Eligibility Criteria" in [The Guide](#).

If the Board approves a request to increase enrollment cap of a charter contract and the *Occupancy Compliance Assurance and Understanding form* is submitted, the request to increase enrollment cap is approved with the condition that the charter holder agrees to provide a Certificate of Occupancy and Fire Marshal's reports approved for educational use, for the additional increase of students within the fiscal year requested. If the charter holder does not fulfill those requirements, the charter holder will have to resubmit an enrollment cap request to the Board for its approval.

## Staff Recommendation

An *Enrollment Cap Amendment Request* for an increase in the enrollment cap will receive a staff recommendation for the expansion if the charter holder’s current data and performance demonstrates all of the following criteria.

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| Charter holder has been in operation for three years;  |
| Rating of “Meets Operational Standard” in the most recent Fiscal Year;   |
| Rating of “Meets Financial Performance Standard” in the most recent Fiscal Year;   |
| Past enrollment trends indicate need for increase within three years;  |
| ADM is within 85% of current enrollment cap; and   |
| Each school operated by the charter holder performs at or above the average performance of a majority of schools within a five-mile radius of the school’s location; |
| <b>OR</b><br>School(s) offers a unique program of instruction within a five-mile radius of the school’s location.  |

## Instructions for the Request

Work through the form, filling in all required fields and uploads (denoted by "\*"). Follow the instructions for each upload field. Be sure to save your work, even if you aren't prepared to submit your form, so that you do not lose your data.

### Form Fields

| Field       | Instructions   |
|-------------|--|
| <b>From</b> | Confirm that the From field accurately identifies the Enrollment Cap approved for the charter contract. If not, contact Board staff. |
| <b>To*</b>  | Enter the Enrollment Cap being requested, ensuring it is supported by the documented capacity of the facility/facilities identified. |

### Attachments

For further information regarding specific documentation requirements, see [The Guide \(Attachment Guidelines\)](#) and the administrative and substantive completeness requirements following this section.

#### Board Minutes or Board Resolutions\*

Board minutes or board resolutions approving or addressing the increase or decrease in enrollment cap.

#### Occupancy Documentation\* (Increase Only)

#### Existing Facilities

For the existing facilities, clearly label and provide the following documents in the upload area:

- A current Certificate of Occupancy, approved for educational use, **and**
- A current Fire Marshal’s Inspection Report, approved for educational use.
- If the Certificate of Occupancy and/or Fire Marshal’s Inspection Report do not list the capacity load of the existing school facilities, provide additional documentation (e.g. floor plans with classroom square footage, architectural drawings clearly indicating internal building dimensions) to document capacity. Hand-drawn images will not be accepted.

**New Construction**

For new construction, clearly label and provide the following documents in the upload area:

- A current Certificate of Occupancy, approved for educational use, **and**
- A current Fire Marshal’s Inspection Report, approved for educational use.
- If a Certificate of Occupancy and Fire Marshal’s Inspection Report are not available for the new construction at the time of submission, an *Occupancy Compliance Assurance and Understanding* form, signed by a charter representative, may be submitted in its place.
- If the Certificate of Occupancy and/or Fire Marshal’s Inspection Report are not available **or** do not list the capacity load for the new construction, provide additional documentation (e.g. floor plans with classroom square footage, architectural drawings clearly indicating internal building dimensions) to document capacity. Hand-drawn images will not be accepted.
- An *Agricultural Land Regulation Assurance and Understanding* form signed by a charter representative.

**Narrative\* (Decrease Only)**

Upload a narrative that responds to the following prompts:

- Describe the rationale for this request.

**Narrative\* (Increase Only)**

Upload a narrative that responds to the following prompts:

- Describe the rationale for this request.
- Provide a detailed staffing plan consistent with each Staffing Chart submitted with this request. Describe how the (administrative, instructional, and non-instructional) staffing, enrollment, and target population needs will be addressed by the following processes:
  - Recruitment,
  - Hiring, and
  - Training.
- If changes to staffing are not needed, provide an explanation.
- Provide a justification for the enrollment targets identified in each Enrollment Matrix submitted. Include:
  - Plans for meeting each year’s enrollment targets;
  - Necessary advertising and/or promotion to meet the targets (if applicable);
  - Number of returning students; and
  - Anticipated new student enrollment.

Identify the concrete resources, if any, needed for implementation. Consider the changes needed to curriculum, assessment, and instruction to implement this request. Provide the rationale for your response. If the response indicates that resources are not needed to implement the request, explain why.

**Additional Information\* (Increase Only)**

Upload each of the following documents:

- Enrollment Matrix
  - Complete for **each school** operated by the charter, detailing the current and targeted number of students served per grade for the subsequent three Fiscal Years.
- Staffing Chart
  - Complete for **each school** operated by the charter, identifying the current and anticipated staffing information for the subsequent three Fiscal Years.
- Financial Documentation (Only for charter holders that **do not meet** the Board’s financial performance expectations)—as described in Appendix B of the [Financial Performance Framework Guidance](#) (FPFG):
  - Upload the financial performance response as described in Appendix C of the FPFG.

**Administrative Completeness Review**

An administratively complete request includes the following (as applicable):

- Board Minutes or Board Resolutions that provide evidence that the:
  - Approval to increase or decrease the enrollment cap has been approved or addressed by the charter holder (approving board);
  - Approving board aligns with what is currently on file with ASBCS; and
  - Board minutes comply with Open Meeting Law (if applicable); or
  - Board resolution is signed by all current board members if the approving board is not subject to Open Meeting Law.
- Occupancy Documentation for existing school facilities:
  - Current Certificate of Occupancy **and** current Fire Marshal’s Inspection Report, both approved for educational use.
  - If the Certificate of Occupancy and/or Fire Marshal’s Inspection Report do not list the capacity load, provide additional documentation. Hand-drawn images will not be accepted.
- Occupancy Documentation for new construction:
  - Current Certificate of Occupancy **and** current Fire Marshal’s Inspection Report, both approved for educational use;
  - OR
  - Completed *Occupancy Compliance Assurance and Understanding* form that is signed and dated by the charter representative.
  - If the Certificate of Occupancy and/or Fire Marshal’s Inspection Report do not list the capacity load, provide additional documentation. *Hand-drawn images will not be accepted.*
- Agricultural Land Regulation Assurance and Understanding* form for new construction, signed and dated by the charter representative.
- Narrative, addressing all prompts.
- Completed Enrollment Matrix for each school operated by the charter holder.
- Completed Staffing Chart for each school operated by the charter holder.
- Financial Performance Response
- All required forms are submitted on the approved ASBCS template.

## Substantive Completeness Review

The following checklist will be used to determine substantive completeness for this request. Each criterion (if applicable) will either be deemed acceptable or not acceptable.

| Review  | Criteria  |
|---|---|
| Board Minutes   | <input type="checkbox"/> Board minutes indicate that the request has been approved and is consistent with the submitted form.   |
| Occupancy Documentation (for existing school facility school facility and new construction) | <input type="checkbox"/> Certificate of Occupancy; and Fire Marshal’s Inspection Report are current for Existing school facilities<br>New construction (if applicable).<br><input type="checkbox"/> If neither displays occupancy, additional documentation demonstrates capacity that is in alignment with the charter holder’s current and proposed enrollment cap increase.<br><input type="checkbox"/> Additional documentation shows how the space is sufficient for the number of students requested.   |
| Rationale (Narrative)   | Description includes:<br><input type="checkbox"/> Rationale for increase or decrease in enrollment cap; and<br><input type="checkbox"/> Rationale is consistent with information contained in all applicable narrative prompt responses and accompanying attachments.   |
| Staffing Chart (Increase Only)  | <input type="checkbox"/> Staffing Chart(s) identify the current and anticipated staffing information for the subsequent three Fiscal years.<br><input type="checkbox"/> Staffing Chart(s) include a leadership section for the school(s) operated by the charter holder.<br><input type="checkbox"/> Staffing Chart(s) are consistent with information contained in all applicable narrative prompt responses and accompanying attachments.   |
| Staffing Plan (Narrative—Increase Only)   | <input type="checkbox"/> Plan describes the charter’s staffing, enrollment and target population needs.<br><input type="checkbox"/> Plan addresses the processes for the needs identified in: <ul style="list-style-type: none"> <li><input type="checkbox"/> Recruitment;</li> <li><input type="checkbox"/> Hiring; and</li> <li><input type="checkbox"/> Training.</li> </ul> <input type="checkbox"/> If no changes to staffing, the plan describes why there are no needed changes.<br><input type="checkbox"/> Staffing Plan is consistent with the information contained in all applicable narrative prompt responses and accompanying attachments. |
| Enrollment Matrix (Increase Only)   | <input type="checkbox"/> A completed Enrollment Matrix for the current and subsequent three Fiscal Years for each school operated by the charter holder, detailing the current and targeted number of students per grade level served.<br><input type="checkbox"/> Each Enrollment Matrix is consistent with information contained in all applicable narrative prompts and accompanying attachments.  |
| Enrollment Justification (Narrative—Increase Only)  | A justification for the enrollment targets identified in each Enrollment Matrix includes: <ul style="list-style-type: none"> <li><input type="checkbox"/> A plan for meeting each year’s enrollment targets;</li> <li><input type="checkbox"/> Necessary advertising and/or promotion to meet the targets;</li> </ul>   |

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|  | <ul style="list-style-type: none"> <li><input type="checkbox"/> Number of returning students; and</li> <li><input type="checkbox"/> Anticipated new student enrollment.</li> </ul> <p><input type="checkbox"/> Enrollment Justification is consistent with information contained in all applicable narrative prompts and accompanying attachments.</p>   |
| <p><b>Concrete Resources<br/>(Narrative—Increase Only)</b></p> | <p>Concrete resources are identified for the following areas:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Curriculum; and/or</li> <li><input type="checkbox"/> Assessment; and/or</li> <li><input type="checkbox"/> Instruction.</li> </ul> <p><input type="checkbox"/> Rationale includes why these resources are needed, or why additional resources are not needed to implement the request.</p> <p><input type="checkbox"/> Identified resources are consistent with information contained in all applicable narrative prompts and accompanying attachments.</p> |
| <p><b>Financial Documentation<br/>(Increase Only)</b></p>      | <p><input type="checkbox"/> Financial Performance Response that addresses each measure for the most recent audited fiscal year presented in the dashboard where the charter holder received a “Does Not Meet Standard”.</p>  |