

Appendix A



Proposal to the California Commission on Teacher Credentialing Stage II: Eligibility Requirements

September 12, 2016

TO: California Commission on Teacher Credentialing
FROM: Sarah Marder-Eppstein, Lead Planner, Bay Area, Relay Graduate School of Education
DATE: September 12, 2016
SUBJECT: Initial Institutional Approval Requirements

To Whom it May Concern:

On behalf of its faculty, staff, and students, Relay Graduate School of Education (Relay GSE) is pleased to submit Stage I and II of the Initial Institutional Approval requirements to operate a preliminary educator preparation program and induction program in the Bay Area, California.

If you should have any questions regarding the information contained in the application, please do not hesitate to reach out to me at 224-766-0370 or smarder-eppstein@relay.edu.

Kind regards,

A handwritten signature in blue ink, appearing to read "SmEppst", with a long horizontal flourish extending to the right.

Sarah Marder-Eppstein

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Part II: Eligibility Requirements

CTC Text	Hyperlink
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a) Identify the position within the organizational structure that is responsible for ongoing oversight of all educator preparation programs offered by the entity including educator preparation programs offered by extension divisions.	a) National Leadership
b) Identify the individual who will coordinate each educator preparation program sponsored by the entity. Provide a description of the reporting relationship between this person(s) and (a) above. If a reporting relationship is indirect, describe the levels of authority and responsibility for each educator preparation program.	b) Bay Area Leadership
c) Provide an organizational chart for the institution as well as the division(s) within the institution responsible for the oversight of educator preparation programs; include any parent organization, outside organization(s), or partner(s) who will be involved in the oversight of the educator preparation unit and/or responsible for program delivery.	c) Organizational Charts
d) Provide policies to ensure that duties regarding credential recommendations are not delegated to persons other than employees of the Commission approved institution.	d) Credential Recommendation Policy
e) Provide assurance that individuals identified as responsible for credential recommendations will participate in Commission training related to the recommendation process.	e) Assurance
CRITERION 2: MISSION AND VISION	
a) Provide its mission and vision related to educator preparation.	a) Mission and Vision
b) Confirm that the mission and vision will be published on the website and in institutional documents provided to candidates.	b) Distribution

CRITERION 3: LAWFUL PRACTICES	
To be granted initial institutional accreditation, a program of professional preparation must be proposed and operated by an entity that makes all personnel decisions without unlawful discrimination. The entity must provide written policy as verification that decisions regarding the admission, retention or graduation of students, and all personnel decisions regarding the employment, retention or promotion of employees are made without unlawful discrimination.	Lawful Practices
CRITERION 4: COMMISSION ASSURANCES AND COMPLIANCE	
a) That there will be compliance with all preconditions required for the initial program(s) the institution would like to propose (General and program specific preconditions for proposed programs must accompany this document)	a) Compliance
b) Provide assurance that all required reports to the Commission including but not limited to data reports and accreditation documents, will be submitted by the Commission approved entity for all educator preparation programs offered including extension divisions.	b) Reports
c) That the sponsor will cooperate in an evaluation of the program by an external team or a monitoring of the program by a Commission staff member.	c) Program Evaluation
d) That the sponsor will participate fully in the Commission’s accreditation system and adhere to submission timelines.	d) Timelines
e) That once a candidate is accepted and enrolled in the educator preparation program, the sponsor must offer the approved program, meeting the adopted standards, until the candidate; i. Completes the program; ii. Withdraws from the program; iii. Is dropped from the program; iv. Is admitted to another approved program to complete the requirements, with minimal disruption, for the authorization in the event the program closes. In this event, an individual transition plan would need to be developed with each candidate.	e) Commitment
CRITERION 5: REQUESTS FOR DATA	
An institution seeking Initial Institutional Approval must identify a qualified officer responsible for reporting and responding to all requests from the Commission within the specified timeframes for data including, but not limited to: a) program enrollments	Research Team

<ul style="list-style-type: none"> b) program completers c) examination results d) state and federal reporting e) candidate competence f) organizational effectiveness data g) other data as indicated by the Commission 	
CRITERION 6: VERACITY IN ALL CLAIMS SUBMITTED	
To be granted Initial Institution Approval, the institutional leadership (Dean or Superintendent) must positively affirm the veracity of all statements and documentation submitted to the Commission. Evidence of a lack of veracity is cause for denial of initial institutional accreditation	Veracity
CRITERION 7: GREIVANCE PROCESS	
a) Provide a clearly delineated grievance process for candidates and applicants.	a) Student Grievance Procedure
b) Demonstrate that information pertaining to the grievance process is accessible to all candidates and applicants.	b) Policy Availability
c) Provide documentation that candidates have been informed of the grievance process that the process has been followed.	c) Documentation
CRITERION 8: COMMUNICATION AND INFORMATION	
a) The institution will create and maintain a website that includes information about the institution and all approved educator preparation programs. The website must be easily accessible to the public and must not require login information (access codes/password) in order to obtain basic information about the institution’s programs and requirements as listed in (b).	a) Relay GSE Website
b) The institution will make public information about its mission, governance and administration, admission procedures, and information about all Commission approved educator preparation programs.	b) Website Information
c) Information will be made available through various means of communication including but not limited to website, institutional catalog, and admission material.	c) Availability
CRITERION 9: STUDENT RECORDS MANAGEMENT, ACCESS, AND SECURITY	
a) Candidates will have access to and be provided with transcripts and/or other documents for the purpose of verifying academic units and program completion.	a) Obtaining Student Records
b) All candidate records will be maintained at the main institutional site or central location (paper or digital copies).	b) Student Record Platforms

c) Records will be kept securely in locked cabinets or on a secure server located in a room not accessible by the public.	c) Storing Student Records
CRITERION 10: HISTORY OF PRIOR EXPERIENCE AND EFFECTIVENESS IN EDUCATOR PREPARATION	
a) History related to its prior experience preparing, training and supporting educators within California or in other states.	a) History
b) A list of all states and/or countries in which the institution is currently operating and the status of the institution's approval in each of those locations.	b) Relay GSE Programming Across Locations
c) Retention and completion data in educator preparation programs or other programs when educator preparation data are not available.	c) Retention and Completion Data
d) Proof of third party notification enlisting comments to be sent to: Input@ctc.ca.gov.	d) Third Party Notification
CRITERION 11: CAPACITY AND RESOURCES	
a) Copy of the most recent audited budget for the institution.	a) Relay GSE's Budget
b) A proposed operational budget for the educational unit.	b) Relay GSE's Bay Area Budget
c) Information about instructional and support personnel for the educational unit.	c) Instructional and Support Personnel
d) Evidence of K-12 partnerships for the purposes of providing fieldwork.	d) K-12 School Partnerships
e) Information about facilities and/or digital learning platforms.	e) Facilities
f) A plan to teach out candidates if, for some reason, the institution is unable to continue providing educator preparation program(s).	f) Teach Out Plan
CRITERION 12: DISCLOSURE	
a) Information regarding the proposed delivery model (online, in person, hybrid, etc.)	a) Program Delivery Model

b) All locations of the proposed educator preparation programs including satellite locations.	b) Locations
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CRITERION 1: RESPONSIBILITY AND AUTHORITY

Language from the CTC: Institutions seeking Initial Institutional Approval must:

- a) Identify the position within the organizational structure that is responsible for ongoing oversight of all educator preparation programs offered by the entity including educator preparation programs offered by extension divisions.
- b) Identify the individual who will coordinate each educator preparation program sponsored by the entity. Provide a description of the reporting relationship between this person(s) and (a) above. If a reporting relationship is indirect, describe the levels of authority and responsibility for each educator preparation program.
- c) Provide an organizational chart for the institution as well as the division(s) within the institution responsible for the oversight of educator preparation programs; include any parent organization, outside organization(s), or partner(s) who will be involved in the oversight of the educator preparation unit and/or responsible for program delivery.
- d) Provide policies to ensure that duties regarding credential recommendations are not delegated to persons other than employees of the Commission approved institution.
- e) Provide assurance that individuals identified as responsible for credential recommendations will participate in Commission training related to the recommendation process.

a) National Leadership

The Relay Graduate School of Education’s (Relay GSE) operational and institutional structure are overseen by a team of leaders including President Norman Atkins, Chief Operating Officer Tim Saintsing, Provost Brent Maddin, and National Dean Mayme Hostetter. All academic offerings throughout Relay GSE have centralized oversight, coordinated and managed by Relay GSE’s Provost in direct communication with the National Dean of Students, the Managing Director of Curriculum Design, and the Director of Research.

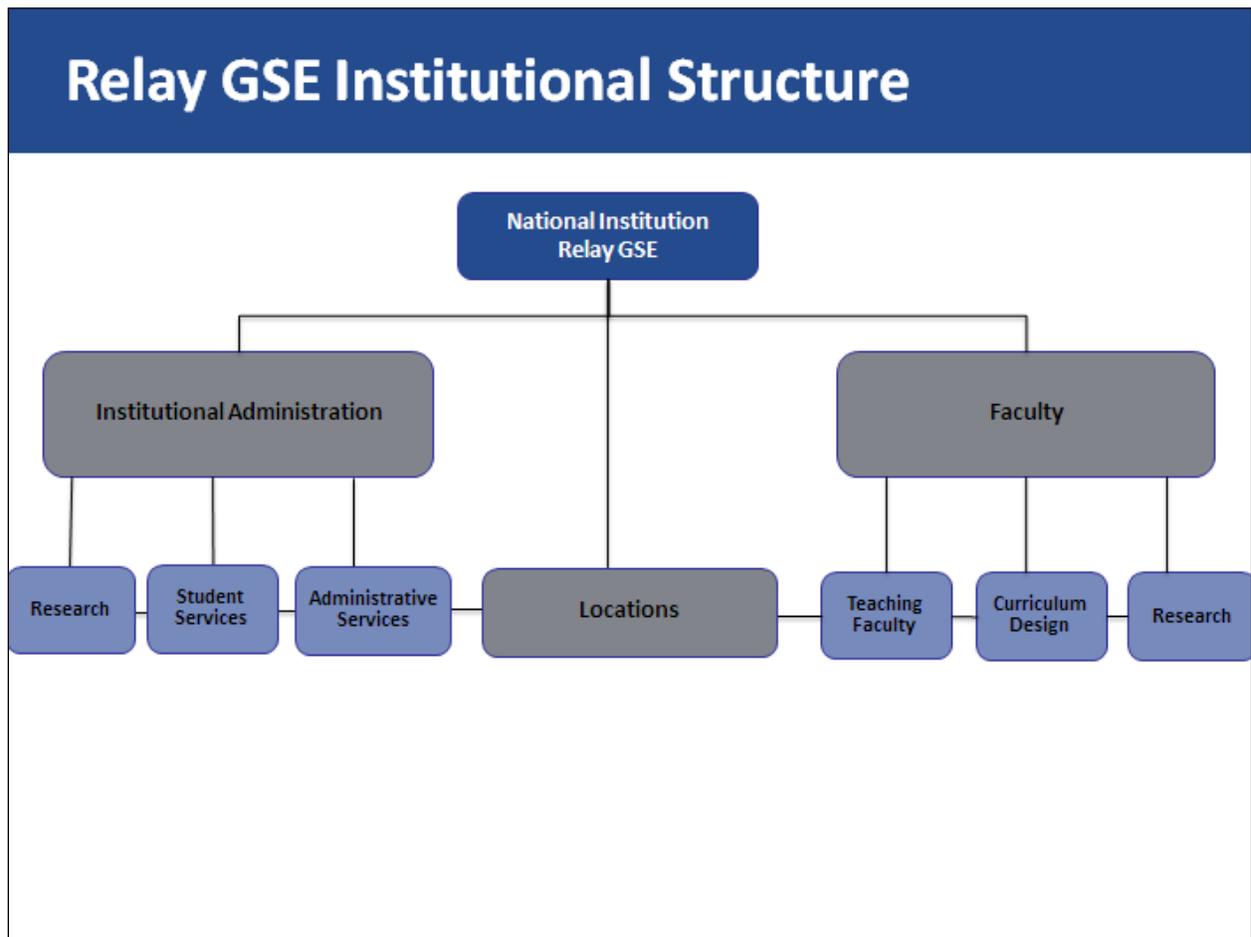
b) Bay Area Leadership

Relay GSE’s location in the Bay Area will be led by the Bay Area Dean and the Director of Operations. The Dean will lead all academic services and instruction, while the Director of Operations will lead all program logistics and operations. The Bay Area Dean will serve as the primary instructional leader for the location, creating and teaching Relay courses and managing and strengthening Relay GSE’s relationships with key external partners. The Bay Area Dean will report to the National Dean. In partnership with Relay’s National Dean and Chief Academic Officer, the Relay Bay Area Dean will design a comprehensive program of study for candidates in education, tailored to California-specific standards.

c) Organizational Charts

The national and local structures support faculty, administration, staff and students while facilitating collaboration across Relay GSE’s 11 locations. Figure 1 outlines the institutional structure as horizontal and vertical channels of coordination and collaboration.

Figure 1: Relay GSE Institutional Structure



President Norman Atkins leads the institution, drawing from his previous experience founding and developing schools and other education organizations. He heads the institutional administration and serves as the liaison between the national leadership team and the board of trustees.

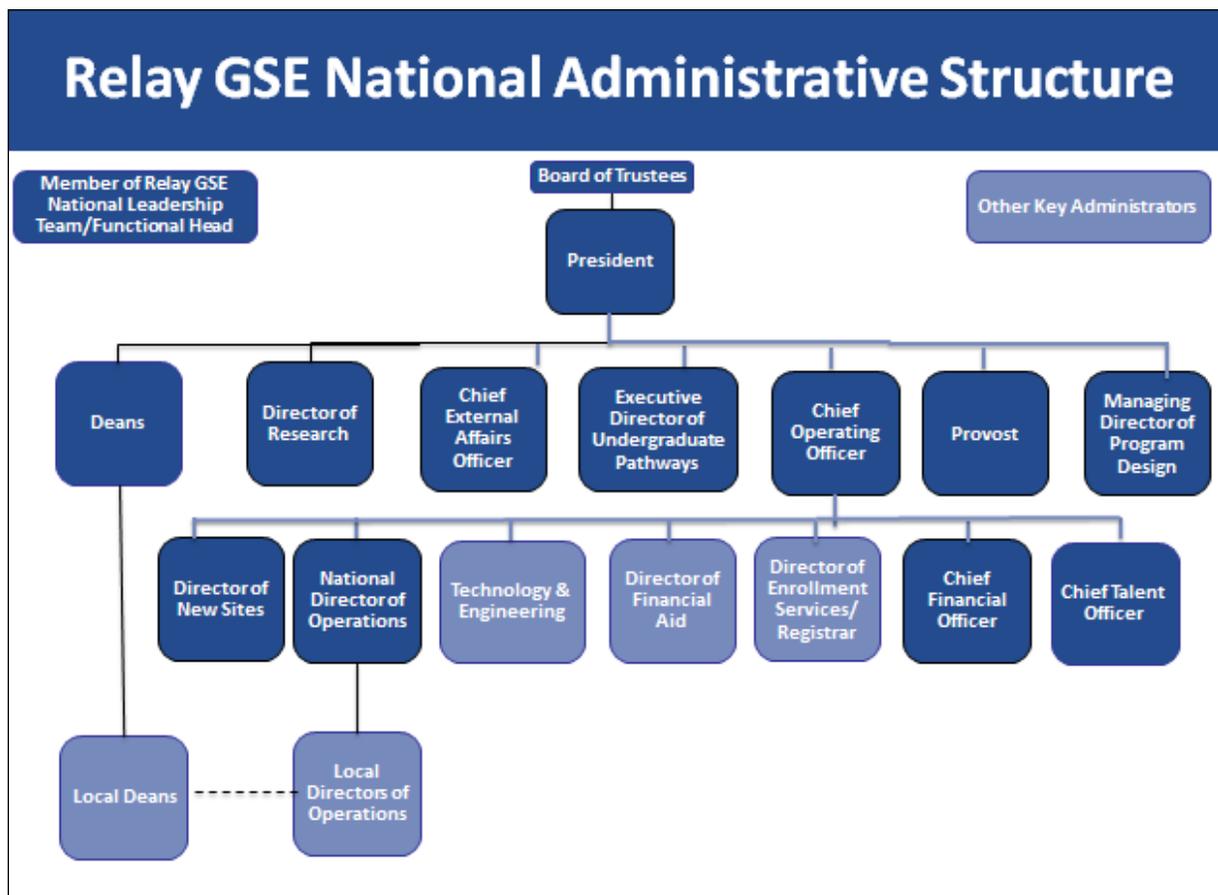
Looking across teams, the left side of figure 1 depicts the link between institutional resources and student support services as well as the link to institutional administration. Collectively, these support services, such as technology and engineering, financial aid, enrollment services and institutional assessment, among others, fall under the leadership of the chief operating officer, Tim Saintsing.

The right side of Figure 1 depicts the relationship between faculty and denotes their specializations in teaching, curriculum design, and scholarship. These faculty members are led by Provost Brent Maddin and National Dean Mayme Hostetter.

National Administrative Structure

Figure 2 below offers an inset of Relay GSE’s leadership on both the institutional administration and student support side (i.e., the left side of figure 2 below) and the faculty and administration side (i.e., the right side of figure 2)

Figure 2: Relay GSE National Administrative Structure

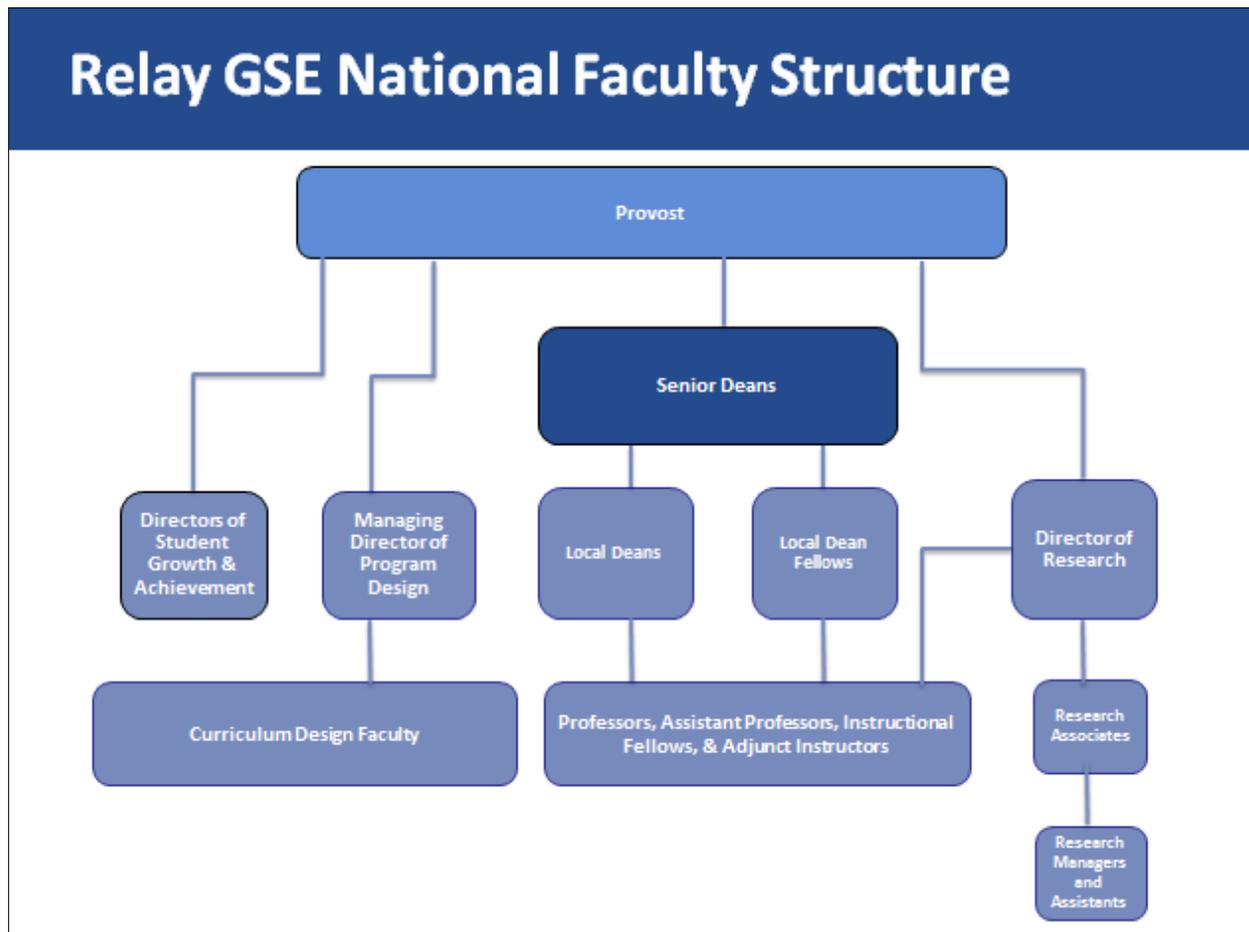


Faculty Structure

There are three types of faculty at Relay GSE: Teaching Faculty, Curriculum Design Faculty, and Research Faculty. Although faculty members from all three departments teach candidates, the role of each department is different. Teaching Faculty’s primary responsibility is delivering instruction to candidates. National Dean Mayme Hostetter and Senior Dean Jamey Verrilli, who is also Dean of Relay GSE’s Newark location, oversee teaching faculty across locations through their work with local deans. Hostetter and Verrilli also support the development of new programs, expansion into new locations, and innovations in teaching and learning. Curriculum Design Faculty focuses on creating the Relay GSE curriculum and is overseen by Provost Brent Maddin. Maddin sets the vision for Relay GSE’s curriculum, its approach to educator preparation, and its programmatic innovation. Research Faculty manages the institutional research agenda and is overseen by the director of research. The director facilitates collaboration between research-active faculty and institutional interests and ensures the dissemination of research opportunities, such as funding, conferences, and calls for publication.

Figure 3 below illustrates the structure and the three primary functions of Relay GSE’s faculty which, collectively, service the national institution and its various local locations.

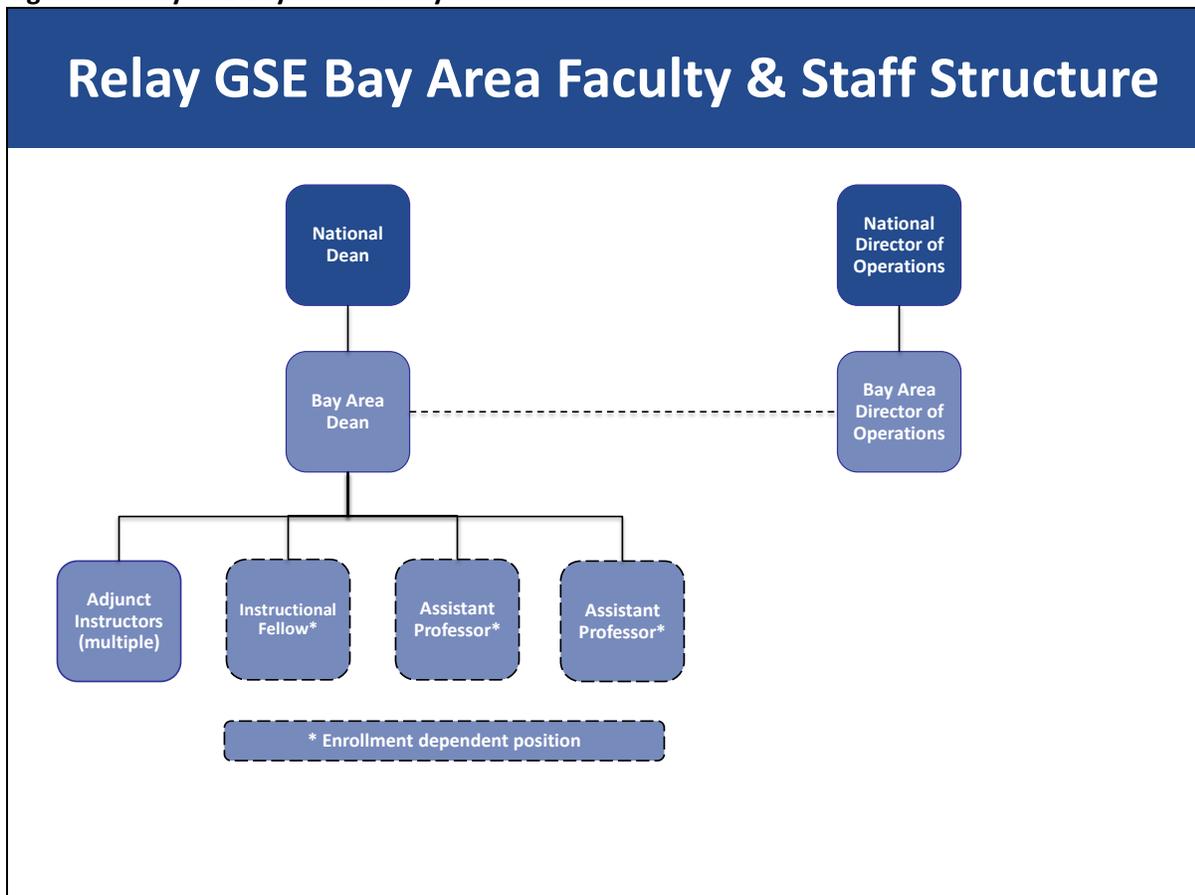
Figure 3: Relay GSE National Faculty Structure



Bay Area Structure

Figure 4 below illustrates the structure of Relay GSE's faculty and staff structure in the Bay Area.

Figure 4: Relay GSE Bay Area Faculty & Staff Structure



d) Credential Recommendations Policy

The Bay Area Dean, with support from the National Dean and the Office of Enrollment Services, will be responsible for credential recommendations. In order for candidates to receive their credential recommendation from Relay GSE, they must complete Relay GSE's program and submit proof of all California credential requirements via Relay GSE's online certification profile. In order to receive their credential, candidates must prove that they have met the current California requirements as stated on CTC's website¹. Once candidates have uploaded proof that they have met the California requirements, the Bay Area Dean will recommend the candidate to the state.

e) Assurance

The Bay Area Dean (who is responsible for credential recommendations) will participate in Commission training related to the recommendation process.

CRITERION 2: MISSION AND VISION

CTC Text: To be granted initial institutional accreditation, an institution must:

- a) Provide its mission and vision related to educator preparation.
- b) Confirm that the mission and vision will be published on the website and in institutional documents provided to candidates.

a) Relay GSE's Mission and Vision

Relay GSE is committed to producing demonstrably effective teachers. This commitment is reflected in the institution's mission and vision:

The mission of Relay GSE is to teach P-12 teachers and school leaders to develop in all students the academic skills and strength of character needed to succeed in college and life.

Relay GSE's short-term vision is that the institution's curriculum and instruction – practically focused, reinforced by the proven practices of high-performing schools, and substantiated by research – will enable graduates to lead their predominantly urban P-12 students to demonstrable annual achievement gains.

Relay GSE's long-term vision is that the institution will bring about transformational change across teacher preparation and will become a place where a new generation of continuously improving, results-focused individuals fulfill their destiny in the world's greatest profession.

Relay GSE Bay Area has worked diligently to understand the needs of Bay Area schools, school leaders and teachers, and is committed to serving California public school teachers using California's standards. This is reflected in the Relay GSE Bay Area location's mission and vision:

¹ <http://www.ctc.ca.gov/credentials/leaflets/cl560c.pdf>

The mission of Relay GSE Bay Area is to teach P-12² California Public School teachers to develop in all students the academic skills and strength of character needed to succeed in the career of their choice. Relay GSE intends to provide high-quality teacher preparation programs that support teacher success in high-need districts and fields, responding to the increasing demand for highly trained teachers. Relay GSE's vision in California is to cultivate diverse teachers that reflect the diversity of the Bay Area.

Relay GSE's current locations consistently take their local context into consideration, and our faculty and graduate students are proud to be active members in the communities that they serve. Relay GSE Bay Area looks forward to working closely with Bay Area schools and districts to create enduring partnerships resulting in highly effective teachers.

Distribution of Relay GSE's Mission and Vision

Relay GSE's mission and vision are central to the institution's work. The values and beliefs reflected in these statements shape the governance, administrative, and faculty structures at Relay GSE. These statements inform the content of the institution's curricula, the form of its assessment, and, critically, the mission and vision drive the supports that Relay GSE provides for its candidates. Similarly, in working to understand the landscape and needs in the Bay Area, Relay GSE has developed a specific mission and vision locally for California. It extends from our mission and vision as an institution, but is reflective of the specific needs of California. Relay GSE's mission can be found publicly on the institution's [website](#) and in institutional documents provided to candidates. Upon approval, Relay GSE Bay Area mission and vision will be listed on the Relay GSE Bay Area Specific website. See mockup [here](#).

CRITERION 3: LAWFUL PRACTICES

CTC Text: To be granted initial institutional accreditation, a program of professional preparation must be proposed and operated by an entity that makes all personnel decisions without unlawful discrimination. The entity must provide written policy as verification that decisions regarding the admission, retention or graduation of students, and all personnel decisions regarding the employment, retention or promotion of employees are made without unlawful discrimination.

Non-Discrimination Policy

Relay GSE's Policy of Nondiscrimination is posted on the institution's [website](#) and in materials shared with potential and admitted candidates (i.e. recruitment materials, electronic applications, [student handbook](#), etc.) This policy reads, "Relay Graduate School of Education admits students of any race, color, national or ethnic origin, religion, sex, marital status, sexual orientation, veteran status, or age to all the privileges, programs, and activities generally accorded or made available to students at the school. It does not discriminate on the basis of race, color, national or ethnic origin, religion, sex, marital status, sexual orientation, veteran status, or age in administration of its educational policies, admissions policies, scholarship and loan programs, and other school-administered programs."

² Relay GSE will ensure that the current pre-K curriculum meets the needs of California's transitional kindergarten (T-K) program.

Admissions Policy

Relay GSE's admissions philosophy is to recruit and admit individuals who have a mindset of high expectations, who are committed to the work of teaching K-12 students in low-income communities, and who are eager to take on the accountability and unique preparation offered by Relay GSE. The institution handles all admissions to its teacher licensure and master's programs through the Relay GSE Office of Enrollment Services. The Office of Enrollment Services manages the application process, admissions process, and state recommendation process for alternative educator licenses, review of transcripts and records, and graduation.

Relay GSE conducts a "holistic admissions review" in that the Admissions Committee, which comprises the Director of Enrollment Services, the Bay Area Dean, the Director of Financial Aid, and faculty members, collects and evaluates a variety of materials from each applicant. More specifically, the Admissions Committee evaluates applicants based on their online application, admissions essay, resume, transcript(s), and letters of recommendations. The Admissions Committee not only evaluates applicants based on prior education experience, but also based on perceived fit with Relay GSE's academic programs and institutional mission.

From time to time, an individual may apply to Relay GSE who does not meet the admissions criteria; for example, he or she may apply with a GPA that is less than a 3.0. In that case, Relay GSE will consult with the candidate's school of employment to ask for a letter articulating why the candidate is a good fit for Relay GSE. Currently, Relay GSE accepts the majority of candidates who meet the admissions criteria; as the institution's reputation grows, Relay GSE expects to build a more selective admissions process that will reduce the number of candidates admitted with GPAs below 3.0.

Prior to their first term of enrollment in Relay GSE, candidates must complete enrollment requirements in order to begin their studies. Upon admissions to Relay GSE, candidates receive detailed information about these requirements, which include signing the Relay GSE Admissions Agreement. Upon approval from the CTC, Relay GSE intends to update the Admissions Agreement to align with the California credentialing requirements for the 2017-18 school year prior to extending an offer of admission to any applicants.

Student Retention Policy

Relay GSE is committed to ensuring all students receive support that provides the best possible opportunity for success. Relay GSE acknowledges the rigor and challenges that teachers and school leaders face, and yet still sets goals for program completion, among other indicators. Retention goals vary by location to account for differences in student enrollment and program offerings.

Employment Policies

Equal Opportunity Employer

Relay GSE is an equal opportunity employer. Relay GSE will not discriminate against employees or applicants for employment on any legally recognized basis including, but not limited to veteran status, race, color, religion, sex, marital status, sexual orientation, national origin, physical or mental disability and/or age. Relay GSE's non-discrimination policy can be found in the employee handbook [here](#).

Commitment to Diversity

Relay GSE is committed to creating a diverse institution that honors and celebrates difference and is inclusive of the communities it serves. Relay GSE believes that multiple, different perspectives are necessary components of a vibrant institution of higher education. Relay GSE values people of all backgrounds and strives to build teams that are diverse in ability, ethnicity, language, class, age, gender, religion, race, and sexuality. Given that Relay GSE's ultimate constituency are underserved public school students, we place a critical emphasis on building an institution that is representative of these students both in terms of race and class.

CRITERION 4: COMMISSION ASSURANCES AND COMPLIANCE

CTC Text: To be granted Initial Institutional Approval, the initial program proposal must include the following assurances:

- a)** That there will be compliance with all preconditions required for the initial program(s) the institution would like to propose (General and program specific preconditions for proposed programs must accompany this document)
- b)** Provide assurance that all required reports to the Commission including but not limited to data reports and accreditation documents, will be submitted by the Commission approved entity for all educator preparation programs offered including extension divisions.
- c)** That the sponsor will cooperate in an evaluation of the program by an external team or a monitoring of the program by a Commission staff member.
- d)** That the sponsor will participate fully in the Commission's accreditation system and adhere to submission timelines.
- e)** That once a candidate is accepted and enrolled in the educator preparation program, the sponsor must offer the approved program, meeting the adopted standards, until the candidate; i. Completes the program; ii. Withdraws from the program; iii. Is dropped from the program; iv. Is admitted to another approved program to complete the requirements, with minimal disruption, for the authorization in the event the program closes. In this event, an individual transition plan would need to be developed with each candidate.

a) Compliance

Relay GSE will be in compliance with all preconditions required for the initial program the institution is proposing.

b) Reports

Relay GSE assures that all required reports to the Commission including, but not limited to data reports and accreditation documents, will be submitted by Relay GSE for all educator preparation programs offered including extension divisions.

c) Program Evaluation

Relay GSE will cooperate in an evaluation of the program by an external team or a monitoring of the program by a Commission staff member.

d) Timelines

Relay GSE will participate fully in the Commission’s accreditation system and adhere to submission timelines.

e) Commitment

Once a candidate is accepted and enrolled in Relay GSE, Relay GSE will offer the approved program, meeting the adopted standards, until the candidate: completes the program; withdraws from the program; is dropped from the program; is admitted to another approved program to complete the requirements, with minimal disruption, for the authorization in the event the program closes. In this event, an individual transition plan would need to be developed with each candidate. More information can be found regarding exiting the program in the Student handbook [here](#).

CRITERION 5: REQUESTS FOR DATA

CTC TEXT: An institution seeking Initial Institutional Approval must identify a qualified officer responsible for reporting and responding to all requests from the Commission within the specified timeframes for data including, but not limited to:

- a) program enrollments
- b) program completers
- c) examination results
- d) state and federal reporting
- e) candidate competence
- f) organizational effectiveness data
- g) other data as indicated by the Commission

Research Team

Relay GSE’s Chief Research Officer and the Research team is responsible for reporting and responding to all requests from the Commission. The Chief Research Officer is responsible for reporting and responding to all requests from the commission in a timely manner to report data regarding program enrollments, program completers, examination results, state and federal reporting, candidate competence, organizational effectiveness data, and any other data as indicated by the commission. Data requests for the Bay Area location will be communicated to the Bay Area Dean who will communicate directly with Relay GSE’s research team.

CRITERION 6: VERACITY IN ALL CLAIMS SUBMITTED

CTC Text: To be granted Initial Institution Approval, the institutional leadership (Dean or Superintendent) must positively affirm the veracity of all statements and documentation submitted to the Commission. Evidence of a lack of veracity is cause for denial of initial institutional accreditation

1. Name of Legal Applicant: Relay Graduate School of Education
2. Mailing Address of Institution: 40 W 20 th St., 7 th Floor, New York, NY 10011

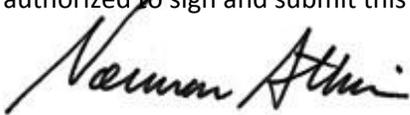
3. Program Director

Name: Norman Atkins
Title: President
Address: 40 W 20th St. 7th Floor NY, NY 10011
Telephone: (212) 228-1888
Fax: 212-228-1855
Email: natkins@relay.edu

ASSURANCES

I positively affirm the veracity of all statements and documentation submitted to the commission

I am authorized to sign and submit this application on behalf of this submitting organization/LEA.



September 12, 2016

Signature of Applicant

Date

President

Title

CRITERION 7: GRIEVANCE PROCESS

CTC text: To be granted Initial Institution Approval, the sponsor must

- a) Provide a clearly delineated grievance process for candidates and applicants.
- b) Demonstrate that information pertaining to the grievance process is accessible to all candidates and applicants.
- c) Provide documentation that candidates have been informed of the grievance process that the process has been followed.

a) Grievance Procedures

The Grievance Procedure is available to candidates who seek to resolve any grievance involving an alleged violation directly affecting that student, by any member of the Relay GSE community while acting in an official capacity, (e.g., faculty member, administrator, staff member) of any of the written Relay GSE policies.

When a grievance occurs, candidates must address the faculty/staff member directly and, if necessary, address the faculty member’s program director or staff member’s supervisor. If no satisfactory resolution is made through these means, candidates may file an official grievance by filing the Student Grievance Form with the Dean.

In addition, two external options are available to students who have exhausted Relay GSE’s grievance procedure. The Bureau for Private Postsecondary Education offers an online complaint form for approved private postsecondary educational institutions. The Bureau will launch an investigation, if warranted (State of California, 2016)³.

³ How to File a Complaint - Bureau for Private Postsecondary Education. State of California, n.d. Web. 29 Aug. 2016. <<http://www.bppe.ca.gov/enforcement/complaint.shtml>>.www.bppe.ca.gov/enforcement/complaint.shtml

Relay GSE's accrediting agency, Middle States Commission on Higher Education, also offers the ability to submit a complaint related to the "quality of the institution or its academic programs," (Middle States Commission on Higher Education, 2015).

For more information regarding grievance procedures, please see the section of the student handbook on institutional policies [here](#). To view the policy for grade appeals, academic honesty, and extension requests, please see the section of the Relay GSE program guide, available [here](#).

b) Policy Availability

All of the above policies are included in the Student Handbook or Program Guide, which are introduced and distributed to candidates at orientation. The student handbook and program guide are also available for candidates to access at any time on the online course platform (Relay GSE's learning management system).

c) Documentation

Upon enrollment in the program, candidates will be informed of the grievance process at orientation and materials from orientation will also be available for candidates on the online course platform. Relay GSE assures the CTC that students will be informed of the grievance process, and that process will be followed.

CRITERION 8: COMMUNICATION AND INFORMATION

CTC text: To be granted Initial Institution Approval, the sponsor must provide a plan for communicating and informing the public about the institution and the educator preparation programs. The plan must demonstrate that

a) The institution will create and maintain a website that includes information about the institution and all approved educator preparation programs. The website must be easily accessible to the public and must not require login information (access codes/password) in order to obtain basic information about the institution's programs and requirements as listed in (b).

b) The institution will make public information about its mission, governance and administration, admission procedures, and information about all Commission approved educator preparation programs.

c) Information will be made available through various means of communication including but not limited to website, institutional catalog, and admission material.

a) Relay GSE Website

Relay GSE maintains its website www.relay.edu with up-to-date information about the institution's programs and requirements. This website does not require login information and is accessible to the public.

b) Website Information

On Relay GSE's website, the following information can be found: mission and vision, governance and administration, program information, and admission procedures. Please see a screenshot of these sections of the Relay GSE website [here](#). Upon approval from the CTC, Relay GSE will provide information about all Commission approved educator preparation programs on the Relay GSE Bay Area webpage.

c) Availability

Upon approval from the CTC, additional information about Relay GSE Bay Area will be available via Relay GSE's website, institutional catalog, and admissions material.

CRITERION 9: STUDENT RECORDS MANAGEMENT, ACCESS, AND SECURITY

CTC Text: To be granted Initial Institution Approval, the sponsor must demonstrate that it will maintain and retain student records. Institutions seeking Initial Institutional Approval will provide verification that

a) Candidates will have access to and be provided with transcripts and/or other documents for the purpose of verifying academic units and program completion.

b) All candidate records will be maintained at the main institutional site or central location (paper or digital copies).

c) Records will be kept securely in locked cabinets or on a secure server located in a room not accessible by the public.

a) Obtaining Student Records

The Office of Enrollment Services (OES) manages admissions and registrar systems at Relay, which includes the maintenance and protection of records, release of academic transcripts, and verification of degrees earned. The Office of Enrollment Services maintains a comprehensive database of candidates' enrollment information. Requests to review records, for copies of the statute or its attendant regulations, or for additional information concerning FERPA should be directed to the Office of Enrollment Services. See below for a description of our students' rights pertaining to their individual academic records.

Education Rights

The Family Educational Rights and Privacy Act (FERPA) is a federal law that affords students certain rights with respect to their education records, in particular the privacy of those records. Relay fully complies with the provisions outlined in FERPA.

Annual Notice to Students

Annually, Relay informs candidates of their rights under the Family Educational Rights and Privacy Act (FERPA) and the regulations relating to FERPA promulgated by the Department of Education. Together, FERPA and the FERPA regulations provide that:

- a) Candidates have a right to inspect and review their education records.
- b) Candidates may request that any such record be amended if they believe that it is inaccurate, misleading, or otherwise in violation of their privacy.
- c) Relay will obtain the candidates written consent prior to disclosing personally identifiable information about the student from their education records, unless such consent is not required by FERPA and the FERPA regulations.
- d) Candidates have a right to file a complaint with the Family Policy Compliance Office of the Department of Education if they feel the University has failed to comply with the requirements of FERPA and the FERPA regulations.
- e) Candidates may obtain a copy of the University's Guidelines for Compliance with the FERPA.

b) Student Record Platforms

Relay GSE stores all students' records electronically using two secure data platforms. The first, Rise, is a student information system that includes information such as name, program, dates of enrollment and

degrees received. The second student information system, called the Course Platform, houses academic data, such as Rubric Score Averages (grades).

c) Storing Student Records

Relay GSE stores all of its records on a secure server that is not accessible to the public.

CRITERION 10: HISTORY OF PRIOR EXPERIENCE AND EFFECTIVENESS IN EDUCATOR PREPARATION

CTC Text: Institutions seeking Initial Institutional Approval must have sponsored an educator preparation program leading to licensure, or participated as a partner in any educator preparation programs and/or programs focused on K-12 public education and provide history related to that experience. CTC staff reserve the right to conduct Google/Nexus searches regarding the institution, governing board and administration. Institutions must submit:

- a) History related to its prior experience preparing, training and supporting educators within California or in other states.
- b) A list of all states and/or countries in which the institution is currently operating and the status of the institution's approval in each of those locations.
- c) Retention and completion data in educator preparation programs or other programs when educator preparation data are not available.
- d) Proof of third party notification enlisting comments to be sent to: input@ctc.ca.gov.

a) History

Chartered in 2011 by New York State and formerly known as Teacher U, Relay GSE is a standalone graduate school of education with teacher certification and master's degree programs designed specifically to respond to today's demand for effective teachers in low-income communities. Relay GSE's vision was created in 2007, as founders of three leading K-12 public charter school management organizations – Uncommon Schools, Knowledge Is Power Program (KIPP), and Achievement First – launched Uncommon Knowledge and Achievement, Inc. in New York City. With more than 15 years of the founders' experience building and managing high performing elementary and secondary schools, this corporation launched the Teacher U at Hunter College (TUHC) program in Spring 2008 as the precursor to Relay GSE.

The TUHC program operated in partnership with the City University of New York's Hunter College (Hunter) between 2008 and 2012. The program awarded master's degrees to three matriculating classes totaling more than 350 graduate students, all of whom were full-time novice or early career teachers in urban classrooms in New York City and the surrounding area. The curriculum, instruction, and student support practices from the TUHC program now serve as the foundation for Relay GSE, which applied for its own independent charter from New York State during this time.

In February 2011, New York State issued Relay GSE a provisional charter, which licensed the institution to operate as an independent institution of higher education and to grant MAT degrees. That Relay GSE is the first new graduate school of education in New York in more than eighty years⁴ is a testament to its

⁴ Sawchuk, S. (2011, 08 05). *N.Y Thinks Outside Teacher Education Box*. Retrieved August 20, 2016, from Education Week: <http://www.edweek.org/ew/articles/2011/08/05/37ny.h30.html>

innovative vision and strong track record at Hunter. New York State granted the institution an absolute charter in June 2013 on the basis of Relay GSE's record of programmatic accomplishment, educational leadership, and financial stability. This further validated Relay GSE's approach to educator preparation.

Relay GSE's curriculum is uniquely structured to serve the institution's candidates appropriately and effectively. The institution's curriculum – centrally developed by expert curriculum design faculty and differentiated by experienced professors as appropriate – focuses on a set of pedagogical skills and content knowledge skills that are spiraled throughout the preparation program, giving candidates the opportunity to develop and reinforce expertise over time. Relay GSE's curriculum is devoted to deepening content knowledge, building positive classroom culture, planning and implementing effective lesson sequences, culturally responsive teaching, and so on. For example, in their first autumn at Relay, candidates take courses on topics like teacher identity, building relationships with students and families, student engagement, classroom management and formative and summative assessments. Candidates also take courses specific to their content areas, and they have the opportunity to pursue one or more electives on topics like effective questioning or blended learning. Candidates experience Relay GSE's curriculum through a purposeful blend of online learning and in-person instruction (40% online, 60% in person), reflecting not only a sensitivity to the demands of candidates' schedules as teachers or teaching residents, but also best practices in hybrid instructional delivery.

Today, Relay GSE's programs, now located in 11 locations across the country, include master's degrees and certification for teachers and teaching residents, and fellowships for experienced principals and principal supervisors.

Relay GSE's approach, which was prominently featured in June 2016 cover story in [The Economist](#), is intentionally designed to isolate specific teaching skills and train educators to develop proficiency through focused practice, collaboration, and feedback. The [teaching residency](#) model, in particular, enables teachers to gain hundreds of opportunities for practice, gradually developing their skills in low-stakes environments before becoming full-time teachers. The Relay GSE Teaching Residency sets candidates up for long-term success in the classroom by providing a gradual, supportive on-ramp to the teaching profession. For example, 84% of residents in the first cohort launched in New York were hired up as full-time teachers.

In addition to Relay GSE's focus on classroom techniques and rigorous academic content, Relay GSE encourages teachers, residents, and principals to adopt a strong focus on personal character strengths that will help their students grow up to be happy, responsible citizens who show grit, love, integrity, and respect for others. Most recently, Relay GSE partnered with Angela Duckworth, founder of The Character Lab, and Scott Barry Kauffman, founder of the Imagination Institute, to provide professional development for teachers across the country. During the "Grit + Imagination Educator's Summit," hosted at the University of Pennsylvania, educators deepened their understanding of grit and imagination through presentations from leading researchers in the field (such as Martin Seligman and Helen Immordino-Yang) and refined approaches for developing these noncognitive skills in their students through practice. After this year's summit, 100% of participants stated that they would recommend this experience to a colleague.

Similarly, candidate satisfaction at Relay GSE is high. As part of regular institutional surveys, Relay assesses our graduate students' perspectives about the quality of our programs. Across a variety of indicators, nearly **90%** of graduates in the class of 2015 reported their agreement with the effectiveness of Relay's faculty and instruction.

Relay GSE is committed to diversity and is cultivating the next generation of teachers and leaders of color. About 50% of Relay’s graduate student body self-identify as people of color. This compares to 18% and 20% respectively for teachers and leaders of color nationwide.⁵ In addition, The Relay GSE Teaching Residency is an especially critical source of diverse, local teaching talent. About **70%** of Relay Residents identified as people of color in the 2015-16 school year.

Relay GSE’s innovative approach to graduate-level education has earned recognition from the [White House](#), state education officials, and leaders of the nation’s most recognized district and charter public schools. More importantly, it has changed the lives of the countless children Relay GSE’s candidates serve. Relay GSE is excited to come to the Bay Area to serve K-12 students and teachers and add to the impact that they have had serving Bay Area’s school leaders, 20 of whom have gone through Relay’s National Principal’s Academy Fellowship.

b) Relay GSE Programming across Locations

Location	MAT	Licensure
New York	X	X
Newark	X	X
Chicago	X	X
Houston	X	X
New Orleans	X	X
Baton Rouge	X	X
Memphis	X	X
Delaware	X	X
Denver	X	X
Philadelphia/ Camden	X (Camden)	X (Philadelphia and Camden)

c) Retention and Completion Data

Relay GSE is committed to ensuring all students receive support that provides the best possible opportunity for success in the program. Relay GSE acknowledges the rigor and challenges that teachers face, and sets goals for program completion, among other indicators. 85% of Relay GSE candidates completing the first year of a two-year program will return for their second year. Approximately 96% of Relay GSE candidates who completed the first year of a two-year program (2014-15) returned for their second year (2015-16). Please see appendix 10 [here](#) for Relay GSE program completion rates year-over-year.

d) Third Party Notification

⁵ http://www.hacu.net/images/hacu/OPAI/2015_CF_Docs/Teacher_Diversity_Revisited.pdf; <http://nces.ed.gov/pubs2013/2013313.pdf>

Relay GSE has requested that third party notification comments will be sent to input@ctc.ca.gov. Relay GSE posted the following language provided by the CTC requesting such comments [here](#) on the Relay GSE website.

Relay GSE is seeking initial institutional approval by the California Commission on Teacher Credentialing. This approval would allow Relay GSE to sponsor educator preparation programs in California. Interested parties are invited to submit comments that may help to inform the Commission of substantive issues regarding this institution. Comments should be submitted to the Commission at input@ctc.ca.gov. Please note that comments should specify the party's relationship to the institution (i.e., graduate, present or former faculty member, employer of graduates, other -please specify). All identifying information will remain confidential.

CRITERION 11: CAPACITY AND RESOURCES

CTC Text: To be granted Initial Institution Approval, an institution must submit a Capacity and Resources plan providing evidence about how it will sustain the educator preparation program(s) through a 2 – 3 year provisional approval (if granted) at a minimum. An institution's Capacity and Resource plan must include:

- a) Copy of the most recent audited budget for the institution.
- b) A proposed operational budget for the educational unit.
- c) Information about instructional and support personnel for the educational unit.
- d) Evidence of K-12 partnerships for the purposes of providing fieldwork.
- e) Information about facilities and/or digital learning platforms. f) A plan to teach out candidates if, for some reason, the institution is unable to continue providing educator preparation program(s).

a) Relay GSE's Budget

Relay GSE's budget is centrally controlled and managed by the Chief Financial Officer, in conjunction with the President and Chief Operating Officer. The fiscal year ends on June 30, and the annual budgeting process starts in February and ends in June with the budget approval by the Board of Trustees. Relay GSE's financial plan is based on healthy budgets and justifiable assumptions about financial projections for the institution as its programs expand to new instructional sites. Please see [appendix 11](#) for Relay GSE's FY15 audited financials.

b) Relay GSE's Bay Area Budget

Relay GSE has developed long-term growth and financial stability plans as an institution and does so for each location, including our proposed Bay Area location. Relay GSE's financial plan allocates budgetary resources appropriately to programs and operations that are centrally-located in New York and to those specific to locations. Relay GSE has ample capital to launch a new Bay Area location. Additionally, Relay GSE has secured additional philanthropic dollars to support the planning year and first year of operations in the Bay Area to ensure a successful launch before collecting tuition revenue. Relay GSE

Bay Area intends to become financial sustainable on tuition revenue when at scale. Please see [appendix 12](#) for Relay GSE's proposed Bay Area operational budget.

c) Instructional and Support personnel

Throughout their experience, candidates enrolled in Relay GSE in the Bay Area will receive services comparable to those received by candidates enrolled at all existing locations. Since Relay GSE provides a hybrid online and in-person graduate program, it is designed purposefully to accommodate remote learners and offers students as much virtual access as possible. Some specific examples of services offered to Bay Area candidates are:

- The Dean and Director of Operations will work on-site in the Bay Area to help candidates navigate the program and its in-person and online instruction and services.
- Relay GSE professors will be assigned groups of approximately 25 Bay Area candidates each. The professors will guide students through the coursework, provide feedback on student assessments, and ensure that his or her candidates are held accountable to the work they need to accomplish.
- Academic advising and course registration will be provided primarily online with support available either via email, over the phone, or in-person on select class days.
- Financial aid advising will be offered by phone, email, and in-person on select class days. Relay GSE has worked diligently to raise scholarship funds and identify financial support to make this unique educational program affordable for candidates. Relay GSE offers a number of institutional scholarships to lower the cost of the program for eligible candidates, and works with schools and programs that employ the candidates as teachers to arrange for additional employer-based tuition support. Relay GSE candidates are also eligible for Title IV federal student aid.
- Student support services will be offered through a combination of Relay GSE staff and faculty. The primary coordinator in Bay Area will be the local Dean, who will work with students in person, by phone, and electronically by email and video chat. Candidates' assigned faculty members and the Dean of Relay GSE Bay Area also collaborate to ensure candidates are supported adequately. Counseling is offered by these staff members to candidates with respect to time management, professionalism, and workload. If specific students demonstrate a need for more support, student support services staff will direct those students to external counseling services.
- Relay GSE will ensure that candidates with learning, physical, and psychological difficulties and/or disabilities are able to complete the program's coursework with appropriate support and/or accommodations from Relay GSE faculty and staff, if necessary. These supports and/or accommodations will be monitored, reviewed, and adjusted as necessary by the Bay Area Dean. If appropriate, Relay GSE may refer candidates to professional resources when deciding the level of disability and the level of further support required.
- The institution is developing a wide array of alumni supports, based on feedback given through the first comprehensive alumni survey in the Fall of 2015. These supports include: an alumni directory and opportunities board; targeted professional development; and access to Relay resources like the video library, online coursework, and indefinite online hosting for their web-based student work portfolio.
- The Relay GSE Library is geared towards electronic use, and all resources are fully integrated into the online library catalog; candidates are only required to login to access full text to hundreds of thousands of resources. New candidates are required to take a library orientation course upon enrollment, which details using the library, information literacy, fair use, and

information ethics. Reference support is available by library staff electronically via email or chat, over the phone, or in person at select class dates.

- Relay GSE's Engineering and Technology Team supports candidates in Bay Area by providing virtual and in-person training about the use of all necessary technologies to succeed in the program. New candidates are required to take an introductory technology course upon enrollment to become familiar with technology used in the program.

There are currently a total of 185 faculty members across Relay's operational locations: 88 full-time faculty members and 97 part-time faculty members. To maintain high-quality programmatic and instructional operations, Relay GSE's program in the Bay Area will be staffed by two full-time employees in its first year: a Dean and a Director of Operations; as well as several part-time adjunct professors. Additional faculty members will join the instructional team based on enrollment numbers. Similar to Relay's other locations, the Dean will lead all academic services, instruction, and student assessment. The Director of Operations will lead all program logistics and operations. Additional part-time faculty will commit to smaller instructional responsibilities for candidates in the Bay Area. Relay GSE has committed the planning, financial resources, and long-term vision to ensure appropriate and sufficient faculty to meet the needs of part-time candidates based on traditional higher education ratios.

The Relay GSE Bay Area Dean will report directly to Relay GSE's National Dean. The Bay Area Dean will oversee the instructional location, the faculty, and teaching in Bay Area. The Director of Operations will report to the National Director of Operations and will be responsible for managing the operations of the Bay Area location, as well as working in concert with the central support team in New York City. The additional supports from Relay GSE's central office will be managed by the National Director of Operations, the Director of Enrollment Services, the Finance team, the Engineering and Technology team, and the Talent team.

d) K-12 School Partnerships

Relay GSE's MAT program is unique in that in order for a candidate to be admitted, he/she must have previously secured a placement in a K-12 Bay Area school. As Relay GSE has done in its other locations, the institution has begun to build partnerships with specific K-12 schools throughout the Bay Area. Typically, our candidates will come to Relay GSE from those employing partner schools. In order to continue in Relay GSE's MAT program, candidates must remain employed in a teaching position for the duration of the program.

Currently Relay GSE has established a partnership with two Charter Management Organizations (CMOs) as evidenced by the two memorandum of understandings (MOUs) in [appendix 13](#). In addition, Relay GSE has had preliminary partner conversations with many other partner organizations in the Bay Area. Similar to its other locations, Relay GSE Bay Area is committed to serving both charter and traditional public schools.

e) Facilities

Administrative Facilities

In preparing to launch its proposed educator preparation program in the Bay Area, Relay GSE has reviewed and assessed the program's needs for instructional space. Relay GSE has identified suitable space at Rocketship Education's offices. Rocketship will be one of Relay GSE Bay Area's partners.

Rocketship's space features a technology-ready classroom and administrative space. This space will meet the instructional and operational needs of Relay's Bay Area location.

Currently, Relay GSE conducts its core administrative work at 40 West 20th Street, 7th Floor, New York, NY 10011. This space will also be used to support the administrative, academic, and instructional work of the institution's Bay Area program. Relay GSE currently maintains a five-year lease agreement for this space, with a lease renewal that occurred in January 2013.

This 20,800 square foot location houses 100 administrative and instructional staff and includes four classrooms, nearly 100 workstations, five teleconference rooms, a sound booth, one medium-sized conference room, and one large conference room.

The administrative team dedicated solely to Relay GSE's Bay Area location comprises the Dean and Director of Operations of Relay Bay Area. Their offices will be located in the Rocketship Education office at 2001 Gateway Pl. Suite 230E in San Jose, CA 95110. The anticipated start date of operations at this site is July, 1, 2017.

Relay GSE's instructional spaces and administrative offices are handicap accessible and meet all state standards for accessibility for the disabled.

Digital Learning Platforms

Course Platform

Approximately 40% of Relay GSE coursework is delivered through online means using Relay GSE's customized learning management system, the Course Platform (CP). Students also have access to supplemental resources on the CP related to Relay GSE's use of video and technology, habits of successful online learners, student financial services, certification, and Relay GSE's library. A centralized online space for students to manage their administrative identity means that students can complete these activities in a manner convenient to them. The CP also provides access to coursework and reports on academic progress. Students can view grades, completed and pending assignments, as well as announcements. Through the CP, Relay GSE distributes all program completion statuses to students on demand.

Library

Given the hybrid online and in-person design of the Relay program, along with its non-proximate locations, the Relay Library was built to provide 24/7 access to a wealth of resources from one's computer. All Relay students, faculty, and staff have full access to the electronic library, which includes full text to hundreds of thousands of articles, tens of thousands of e-books, thousands of reference titles, multiple P-12 curriculum resources, and current news resources. These databases are purchased from vendors such as EBSCO, Gale, JSTOR, Lexis-Nexis, and eBrary and are accessible via the Summon library search interface, which provides a single search experience similar to Google. While the digital resources make up the majority of Relay Library, there is also a small physical library housed at the Relay administrative office, which includes works on education and related fields for use by Relay staff and faculty. Relay is also a member of the METRO consortium that provides physical access to many academic libraries in the New York City metro area, such as Columbia, NYU, and Bank Street, as well as free interlibrary loan access to articles and books.

Candidates in the Bay Area wishing to access hard copy materials from Relay's physical library or from those in the METRO consortium may request a loan from the New York City office through the institution's library staff members. As Relay's enrollment grows in the Bay Area, the institution will explore the viability of establishing small physical collections of resources in the Bay Area, similar to the one currently housed at Relay's administrative office in New York City. Additionally, as Relay grows its enrollment in the Bay Area the institution will investigate the viability of establishing relationships with library consortia within the Bay Area.

f) Teach Out Plan

In the unlikely event of program suspension, Relay GSE is committed to ensuring a seamless transition for candidates and faculty. As such, Relay GSE administrators would act in accordance with Middle States Commission on Higher Education policy and submit a comprehensive teach-out plan to MSCHE no later than six months prior to the planned closing date.

As a part of the teach-out plan, Relay GSE Bay Area academic advisors would facilitate individual meetings with each candidates to create differentiated strategies to ensure enrollment and transfer of credit at other regionally-accredited institutions. Such strategies would be based off of, but not limited to, the following:

- The student's geographical location
- The student's credit count
- The student's fit with various regionally-accredited institutions
- The institution's course offerings
- The institution's transfer of credit policy
- The institution's enrollment policies

During the teach-out, Relay GSE administrators would aim to have operations cease at the end of the academic year, thus minimally affecting graduating students. In addition, the Relay GSE Bay Area Dean and Director of Operations would engage in partnership work with local regionally-accredited institutions in order to facilitate credit transfer for students.

CRITERION 12: DISCLOSURE

CTC Text: Institutions must disclose:

- a) Information regarding the proposed delivery model (online, in person, hybrid, etc.)
- b) All locations of the proposed educator preparation programs including satellite campuses.
- c) Any outside organizations (those individuals not formally employed by the institution seeking Initial Institutional Approval) that will be providing any direct educational services as all or part of the proposed programs.

a) Program Delivery Model

The Relay GSE model is blended instructional delivery model. Instruction takes place 60% in-person and 40% online on Relay GSE's course platform. See section [11 E](#) for information about Relay GSE's course platform.

b) Locations

As stated in [criterion 10b](#), Relay GSE operates MAT and/or licensure programs in New York, New Jersey, Louisiana, Texas, Illinois, Delaware, Tennessee, Pennsylvania, and Colorado. Each site is specifically designed to meet local needs while capitalizing on the institution's curricular and administrative resources. Upon approval from the CTC, Relay GSE will open its Bay Area location.

c) Collaboration

Relay GSE does not plan to employ any direct educational services as all or part of the proposed programs.

Mission & Vision

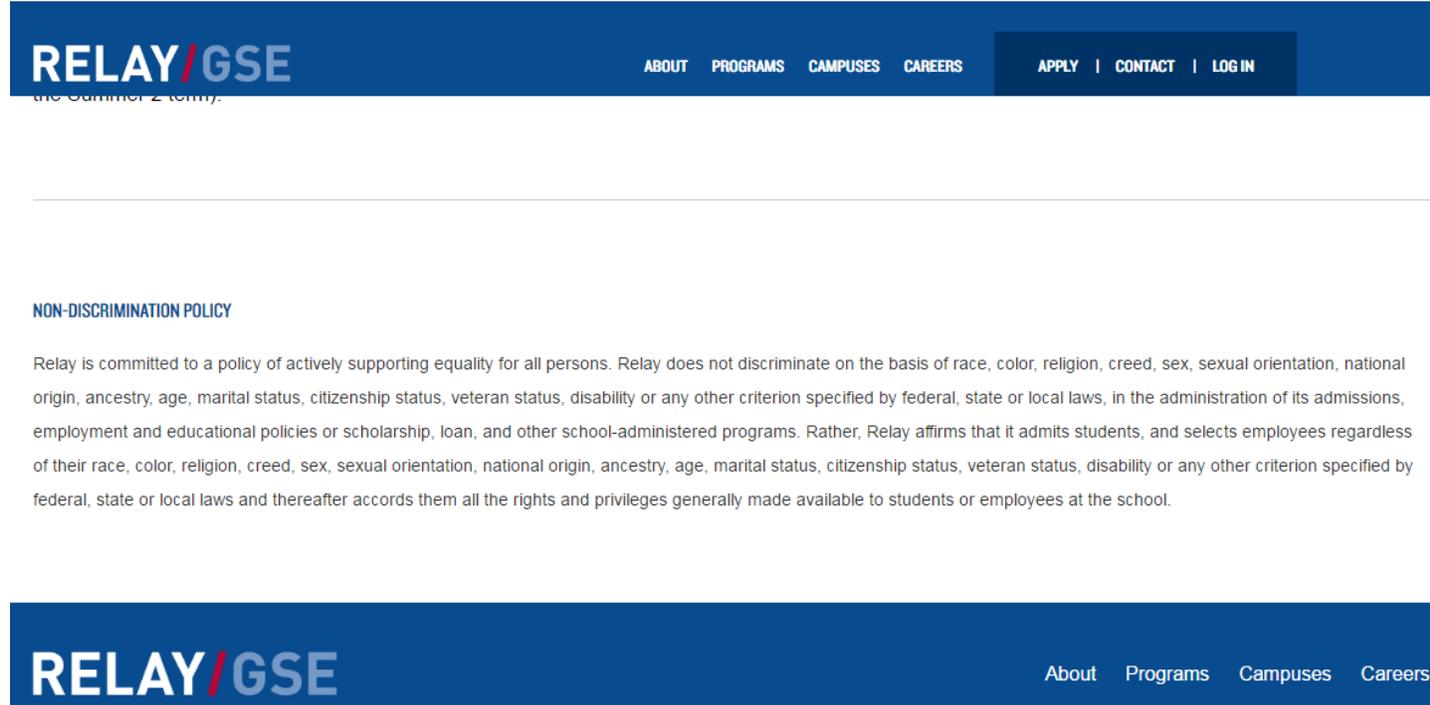
The mission of Relay GSE Bay Area is to teach P-12 * California Public School teachers to develop in all students the academic skills and strength of character needed to succeed in the career of their choice. Relay GSE intends to provide high-quality teacher preparation programs that support teacher success in high-need districts and fields, responding to the increasing demand for highly trained teachers. Relay GSE's vision in California is to cultivate diverse teachers that reflect the diversity of the Bay Area.

*Relay GSE will ensure that the current pre-K curriculum meets the needs of California's transitional kindergarten (TK) program.



Appendix 2: Relay GSE Non-Discrimination Policy Posted on Website

Screenshot:



Location on Website:

Relay GSE posts its non-discrimination policy on the application page of each of its programs. See an example for our Denver campus [here](#). Upon approval from the commission, Relay GSE Bay Area will create a Bay Area specific program page.

NON-DISCRIMINATION POLICY

Relay is committed to a policy of actively supporting equality for all persons. Relay does not discriminate on the basis of race, color, religion, creed, sex, sexual orientation, national origin, ancestry, age, marital status, citizenship status, veteran status, disability, or any other criterion specified by federal, state, or local laws, in the administration of its admissions, employment and educational policies, or scholarship, loan, and other school-administered programs. Rather, Relay affirms that it admits students and selects employees regardless of their race, color, religion, creed, sex, sexual orientation, national origin, ancestry, age, marital status, citizenship status, veteran status, disability, or any other criterion specified by federal, state, or local laws and thereafter accords them all the rights and privileges generally made available to students or employees at the school.

HARASSMENT POLICY

A. OVERVIEW

It is the policy of Relay to prohibit harassment from occurring at the institution or at any other place where a Relay-sponsored event takes place. Although this policy primarily focuses on sexual harassment, similar conduct that creates a hostile environment for graduate students or employees based on other protected characteristics (e.g., race, religion) will be handled in a similar fashion. The purpose of this policy is not to regulate personal morality or to encroach on the personal lives of graduate students or employees. Rather, in the spirit of Relay's mission to teach teachers to develop in all students the academic skills and strength of character needed

Appendix 4: Employee Handbook



Non-Discrimination Policies

I. Equal Opportunity Employer

Relay is an equal opportunity employer. Relay will not discriminate against employees or applicants for employment on any legally recognized basis including, but not limited to veteran status, race, color, religion, sex, marital status, sexual orientation, national origin, physical or mental disability and/or age.

II. Sexual Harassment Policy

It is the policy of Relay to prohibit harassment from occurring at the institution or at any other place where a Relay-sponsored event takes place. Although this policy primarily focuses on sexual harassment, similar conduct that creates a hostile environment for graduate students or employees based on other protected characteristics (e.g., race, religion) will be handled in a similar fashion. The purpose of this policy is not to regulate personal morality or to encroach on the personal lives of graduate students or employees. Rather, in the spirit of Relay's mission to teach teachers to develop in all students the academic skills and strength of character needed to succeed in college and life, this policy demonstrates Relay's commitment to maintaining a supportive academic environment and high character standards that are not compromised by harassment of the institution's graduate students and employees. It is also designed to comply with applicable law.

With respect to Relay employees, this policy applies to full-time employees, part-time employees, interns, independent contractors, and other types of Relay personnel.

It is the policy of Relay to prohibit sexual harassment from occurring in the workplace or at any other place where a Relay -sponsored event takes place.

III. Defining Harassment

Unwelcome sexual advances, requests for sexual favors, and other verbal, physical, or visual conduct of a severe, persistent, or pervasive sexual nature constitute harassment when:

- Submission to such conduct is made, either explicitly or implicitly, a term or condition affecting academic or employment decisions
- Submission to or rejection of such conduct by a graduate student or an employee is used as the basis for an academic or employment decision affecting that graduate student or employee
- Such conduct has the purpose or the effect of unreasonably interfering an employee's work performance, or of creating an intimidating, hostile, or offensive environment

Sexual harassment may include such actions as repeated offensive or unwelcome sexual flirtations and advances, verbal comments, jokes, or innuendo of a sexual nature, words or gestures of a sexual nature used to describe a person or depict a situation, or the display of sexually suggestive objects or pictures.

IV. Investigation and Remediation

If an employee believes that he or she has experienced sexual harassment, or believes that he or she has witnessed sexual harassment, that employee should immediately notify Relay's Chief Operating Officer. If a claim of harassment involves conduct by the Dean, the Provost, the Chief Operating Officer, or the President, the graduate student or employee should report the concern directly to Relay's Chair of the Board or his or her designee.

All reports of sexual harassment will be promptly investigated. If an informal, administrative resolution mutually acceptable to all parties and Relay can resolve the matter, it will be implemented. If this is not achieved, then Relay will investigate the matter and, if appropriate, determine the corrective action to be taken. Either party to the process may request a review of the corrective action taken if not satisfied with the process, the determination, or the sanction imposed.

Information about claims of harassment will be kept confidential to the extent consistent with a credible investigation.

It is important to understand that harassing conduct which may not constitute a violation of this policy may still constitute conduct that is unprofessional or a violation of other conduct standards of Relay.

Employees who have experienced conduct, have witnessed conduct, or have been told of conduct that may violate this policy have an obligation to report the conduct in accordance with this complaint procedure. An employee's failure to fulfill this obligation could affect the ability of Relay to investigate a matter fully and could permit inappropriate conduct to continue. Also note that federal, state, and local discrimination laws and regulations establish specific time frames for initiating a proceeding.

If an investigation confirms that harassment has occurred, Relay shall take appropriate corrective action. Corrective action may include, but not be limited to, an official memorandum in an employee's personnel file, salary adjustment of the offending employee, or the termination of the offending employee. In addition, Relay may require that employees engage in training or counseling to develop a better understanding of the policy prohibiting harassment and to prevent another occurrence. The proper manager may also follow up with the employee after corrective action has been taken to ensure that the harassment has ceased and to determine whether any retaliatory actions have occurred.

No employee shall be subject to retaliation, intimidation, or discipline as a result of making a complaint of harassment or participating in an investigation. Disciplinary action up to and including dismissal, however, may be taken against anyone who knowingly makes a false, meritless, or malicious claim of harassment.

V. Academic Freedom

While Relay is committed to the principles of free inquiry and free expression in the educational program and research, harassment identified in this policy is neither legally protected expression nor the proper exercise of academic freedom.

VI. Whistleblower Policy

Relay requires its directors, officers, and employees to observe high standards of business and personal ethics, as such personal ethics relate to the organization, in the conduct of their duties and responsibilities. Employees and representatives of Relay must practice honesty and integrity in fulfilling their responsibilities and comply with all applicable laws and regulations.

This Whistleblower Policy is not a vehicle for reporting violations of Relay's applicable human resources policies, problems with co-workers or managers, or for reporting issues related to alleged employment discrimination or sexual or any other form of unlawful harassment, all of which should be dealt with in accordance with other policies.

The matters which should be reported under this policy include suspected fraud, theft, embezzlement, accounting or auditing irregularities, bribery, kickbacks, misuse of Relay's assets, or suspected regulatory, compliance, or ethics-related issues, concerns, or violations.

VII. Reporting Responsibility

It is the responsibility of all directors, officers, and employees to report in good faith violations or suspected violations of high business and personal ethical standards, as such personal ethics relate to the organization, and/or applicable legal requirements ("violations") in accordance with this Whistleblower Policy.

VIII. No Retaliation

No director, officer, or employee who in good faith reports a violation shall suffer harassment, retaliation or adverse employment consequences because of such report. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within Relay prior to seeking resolution outside Relay. Notwithstanding anything contained herein to the contrary, this Whistleblower Policy is not an employment contract and does not modify the employment relationship between Relay and its employees, nor does it change the fact that employees of Relay are employees at will. Nothing contained herein provides any director, officer, or employee of Relay with any additional rights or causes of action, other than those provided by Section 1107 of the Sarbanes-Oxley Act of 2002.

IX. Reporting Violations

Questions, concerns, suggestions, or complaints regarding the ethical and legal standards noted above should be addressed directly to the Compliance Officer, currently the Chair of Relay's Audit Committee. If the Violation concerns the Compliance Officer or the complainant is not comfortable reporting to the Compliance Officer, then the complainant shall notify the COO or the President instead.

X. Compliance Officer

The Compliance Officer is responsible for investigating and resolving all reported Violations and shall advise the Chair of Relay's board, the Audit Committee and, if the Compliance Officer deems it appropriate, the COO and the President, of all reported complaints and allegations of Violations. The Compliance Officer is required to report to the full Board at each regularly scheduled Board meeting on compliance activity. The name and contact information for the Compliance Officer will be made accessible to all employees.

XI. Accounting and Auditing Matters

The Audit Committee of the Board shall address all reported concerns or complaints regarding corporate accounting practices, internal controls or auditing. The Compliance Officer shall immediately notify the Audit Committee of any such complaint and work with the committee until the matter is resolved. Promptly upon receipt, the Audit Committee shall evaluate whether a complaint constitutes an accounting complaint, and if so shall promptly determine what professional assistance, if any, it needs in order to conduct an investigation. The Audit Committee will be free in its sole discretion to engage outside auditors, counsel, or other experts to assist in the investigation and in the analysis of results.

XII. Acting in Good Faith

Anyone filing a complaint concerning a violation must act in good faith and have reasonable grounds for believing the information disclosed may indicate a violation of such standards. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

XIII. Confidentiality

In making a complaint or submission, an employee of Relay may request that such complainant be treated in a confidential manner (including that Relay take reasonable steps to ensure that the identity of the employee making the complaint remains anonymous). Relay takes seriously its responsibility to enforce this Whistleblower Policy and therefore encourages any employee reporting a violation to identify him or herself so as to facilitate any resulting investigation. Employees may, however, submit complaints on an anonymous basis. Reports of violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

XIV. Handling of Reported Violations

The Compliance Officer will notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days, but only to the extent the sender's identity is disclosed or a return address is provided. All reports will be promptly investigated; the scope of any such investigation being within the sole discretion of the Audit Committee, and appropriate corrective action will be taken if warranted by the investigation.

Upon receiving a complaint, the Compliance Officer shall submit a report to the Chair of the Board of Relay, the Audit Committee and, if the Compliance Officer deems it appropriate, the COO and the President, that must include a copy of the complaint, its date, nature and source (unless the complainant is an employee who has requested confidentiality and/or anonymity), how it was communicated, whether the Compliance Officer regards the complaint as credible, and proposals to address it. Under no circumstances will such a report be shared with an individual who is the subject of the complaint.

XV. Records

The Audit Committee will retain on a strictly confidential basis for a period of seven years (or otherwise as required under Relay's record retention policies in effect from time to time) all records relating to any complaint and to the investigation and resolution thereof. All such records are confidential to Relay and such records will be considered privileged and confidential.

XVI. Response

Relay will take appropriate action in response to any complaints, including, but not limited to, disciplinary action (up to and including termination) against any person who, in Relay's assessment, has engaged in misconduct or is otherwise not in compliance with applicable laws, rules, ethical standards or policies, and Relay will report such misconduct to the relevant civil or criminal authorities as required by law.

XVII. Office of the Inspector General

The Office of the Inspector General operates a Fraud Hotline to provide an opportunity for concerned citizens, program participants, employees of Corporation for National and Community Service grant recipients, volunteers, and others to report instances of fraud, waste, abuse of authority, and mismanagement in any organization (like Relay) receiving federal funding. The OIG Fraud Hotline telephone number is 1-800-452-8210. Reports may also be made via e-mail to hotline@cncsig.gov.

XVIII. Open Door Policy and Problem-Solving Procedures

Any Relay employee has the right to take an issue to any person in the organization, regardless of title or position, and there will be no recrimination, discrimination, or consequences.

It is the policy of Relay to provide its employees with a fair and efficient process to present and resolve complaints and grievances arising out of the employment relationship. This process is applicable to employees only on an individual basis. Relay encourages employees to address with their managers any workplace concerns as they arise.

XIX. Scope

These procedures are available to Relay employees, including probationary, temporary, hourly, or per diem employees who work on an as needed basis.

ACADEMIC PROGRAM TRANSITION

EXITING RELAY

Although Relay hopes that all graduate students fully complete all coursework and graduate, the institution realizes that unexpected personal, academic, and professional circumstances could prevent some from completing the program as planned. Graduate students experiencing any of these circumstances should contact their faculty member as well as the Office of Enrollment Services for information about their options. For questions or concerns related to the information in this section, contact the Office of Enrollment Services at enrollment@relay.edu. For questions or concerns related to the financial implications, contact the Office of Student Financial Services at sfs@relay.edu.

GENERAL LEAVE OF ABSENCE

Graduate students who determine that it is not possible or in their best interest to complete the coursework in which they are currently enrolled can request to take a leave of absence from the program. A leave of absence is valid for one calendar year (12 months); after one calendar year, Relay will withdraw graduate students from the program permanently.

To initiate a request for a leave of absence, graduate students should first talk with their faculty member, who will refer students in need to the Assistant Dean of Students to determine how and when to take the leave of absence. Students will need to discuss the implications of a Leave of Absence with their school leader, applicable partner program (such as NYCTF or TFA), and Student Financial Services (sfs@relay.edu). There may be financial, professional, and academic consequences to suspending enrollment in the program.

Once graduate students have confirmed a leave of absence is the right decision, they must formally submit a request form to the Office of Enrollment Services. Directions for accessing and submitting the form are available in the GEN-101 module on the Course Platform. Graduate students are still enrolled students at Relay, with corresponding academic, financial, and administrative responsibilities, until the Leave of Absence form is processed and they receive email verification of the leave of absence from the Office of Enrollment Services.

The Office of Enrollment Services will notify graduate students via email that they have approved the leave of absence and inform the student of exit and re-entrance procedures. The Office of Student Financial Services will follow up with graduate students about how to pay any outstanding Relay tuition and fees.

Graduate students should note that a leave of absence will be treated as a withdrawal for the purposes of Title IV federal financial aid. This may require students who have taken a leave of absence to return a portion of unearned Title IV funds, namely Direct Unsubsidized Loan funds. For more information about the return of Title IV funds, please see the section titled "[Return of Title IV.](#)"

MEDICAL OR MATERNITY LEAVE OF ABSENCE

Relay is happy to work with graduate students should they require a medical leave due to pregnancies or other medical leave of absence from Relay. Graduate students should discuss plans for a leave of absence with their faculty advisor and the Assistant Dean of Students as soon as possible. All [General Leave of Absence](#) policies (see above) apply to medical leaves.

Pregnant and Parenting Students

Relay permits pregnant graduate students and graduate students who have given birth within six months to take a leave of absence if deemed "medically necessary" by a doctor. As with any graduate student with a medical condition who must take a temporary leave of absence or request an accommodation, the pregnant or parenting graduate student must submit medical documentation to demonstrate that a temporary leave or an accommodation is medically necessary.

Relay will excuse graduate students' absences because of pregnancy or childbirth for as long as the graduate students' doctors deem their absences medically necessary. Relay will work with graduate students during their leave to minimize, to the extent possible, graduate students falling behind in coursework.

Once graduate students are ready to return to Relay, Relay will work with graduate students to address how best to make up missed course and/or clinical work and get back on track toward their degree. Graduate students who return from pregnancy leave, or leave related to childbirth, will generally be allowed to return to the same academic and extracurricular status as they had at Relay before they left for medical leave. For example, any earned credits will still be intact and the leave period will not be counted towards minimum time requirements for completing a degree, if any exist.

Graduate students should discuss plans for a leave of absence with their faculty advisor or the Assistant Dean of Students. If graduate students have concerns about a particular professor's attendance and/or coursework policy as it relates to their leave of absence, the student should contact the Dean's Office. Complaints of pregnancy-related discrimination are covered by the Relay's graduate student policy/grievance procedures, as outlined in the [Student Grievance Policy](#).

Accommodations

Upon the submission of proper documentation, Relay will work with graduate students who have a medical condition, including those students who are pregnant or have given birth within 6 months, to develop temporary accommodations. The accommodation will vary depending on graduate students' conditions, medical documentation, Relay resources, and the graduate students' academic programs.

PROGRAM DISMISSAL

Graduate students may be dismissed from Relay for the following reasons:

- Poor academic performance (See "[Academic Probation and Dismissal Policy](#)" section for more detail)
- Failure to pay Relay tuition and fees (See "[Student Financial Services](#)" section for more detail)
- Failure to maintain a teaching position. Graduate students who lose or leave their teaching positions must contact the Dean's Office (nydean@relay.edu) immediately to discuss timeline requirements for obtaining a new position
- Failure to submit immunization or certification materials by the deadline (See "[Enrollment Services](#)" section for more detail)
- Other substantive violations of Relay's policies, procedures, or safety rules

If graduate students are in danger of dismissal, Relay may contact the student's school and/or sponsoring organizations to notify them and enlist their help in supporting graduate students.

In the event of a dismissal, the Office of Enrollment Services and/or Dean will send dismissal notifications to the student via email. If dismissed, graduate students have the right to appeal the dismissal decision by submitting a letter of appeal to the Dean. If the appeal is unsuccessful, the dismissal procedures will continue and the student will be exited.

If graduate students are dismissed, it is their responsibility to notify their school (and if applicable, their teacher prep program, such as Teach For America or New York City Teaching Fellows) of their departure from Relay.

WITHDRAWAL

If graduate students determine it is not possible or in their best interest to complete the coursework in which he or she is currently enrolled, the student can withdraw from Relay. To initiate program withdrawal, graduate students should first discuss this with their faculty advisor and the Office of Enrollment Services and Office of Student Financial Services to

determine how and when to exit, as there may be financial, professional, and academic consequences to early withdrawal from the program.

Graduate students who wish to withdraw must complete a Program Withdrawal Form and submit it to the Office of Enrollment Services. Directions for accessing and submitting the form are available in the GEN-101 module on the Course Platform. Graduate students are still enrolled at Relay, with corresponding academic, financial, and administrative responsibilities, until the Program Withdrawal Form is processed and he or she receives email verification of the withdrawal from the Office of Enrollment Services.

The Office of Enrollment Services will notify graduate students via email that they have approved the withdrawal request and inform graduate students of exit procedures. The Office of Student Financial Services will follow up with graduate students about how to pay any outstanding Relay tuition and fees.

If graduate students plan to leave Relay for any reason, they are responsible for notifying their schools (and if applicable, Teach For America or New York City Teaching Fellows).

Withdrawal Due to Change in Employment

If their employment as a P-12 teacher is terminated, graduate students have one month to regain employment as a P-12 teacher before they must withdraw from the program. Graduate students are responsible for promptly informing, via email, their Relay faculty member(s) and the Office of Enrollment Services regarding any change in employment. If the students do not regain employment within one month and do not submit a withdrawal form immediately following that one-month deadline, they are at risk of being administratively withdrawn from the program.

Administrative Withdrawal

Graduate students who fail to meet administrative requirements at Relay can be administratively withdrawn. If graduate students are in danger of administrative withdrawal, Relay may contact the student's school and/or sponsoring organization to notify them and enlist their help in supporting graduate students. Administrative withdrawal may occur for reasons outlined below.

Failure to Meet Certification and/or Enrollment Requirements

If graduate students fail to pass New York State teacher certification tests, submit compliant immunization forms, or meet Relay's enrollment requirements, the students may be administratively withdrawn.

Persistent Absence

In order to identify and support students who have not actively withdrawn or taken a Leave of Absence but have failed to attend in-person class sessions and complete online coursework for an extended period of time, Relay conducts a regular review of in-person and online attendance. Relay will contact any graduate students who fail to remain active for an extended period of time to determine the students' intention to remain enrolled. If the students continue to be inactive, Relay may administratively withdraw them.

Change of Employment

Please see "[Withdrawal Due to Change in Employment](#)" (above).

Financial Obligations upon Withdrawal

Graduate students who receive Title IV funds (including federal direct unsubsidized loans) may be required to return a portion of funds that have been disbursed to their accounts upon exiting the program. For more information about the process concerning return of Title IV funds, please review the section entitled "Return of Title IV Funds."

If graduate students have a deferred tuition balance, the students will be required to pay the entire balance of their deferred tuition upon terminating enrollment with Relay. For information about deferred tuition, please see the section entitled "[Deferred Tuition](#)" in the [Student Financial Services](#) section.

INSTITUTIONAL POLICIES

CODE OF CONDUCT

All graduate students have an obligation to observe and follow Relay's policies and to maintain proper standards of conduct at all times. If graduate-student behavior interferes with the safe operation of Relay, corrective disciplinary measures will be taken. Disciplinary action may include a verbal warning, written warning, suspension, or dismissal. The appropriate disciplinary action to be imposed will be determined by faculty and staff. The institution does not guarantee that one form of action will necessarily precede another. The following may result in disciplinary action, up to and including dismissal:

- Violation of Relay's policies, procedures, or safety rules;
- Unauthorized possession, use, or sale of alcohol or controlled substances on Relay premises or during class sessions;
- Unauthorized possession, use, or sale of weapons, firearms, or explosives on Relay premises;
- Intoxication;
- Theft or dishonesty;
- Misuse of technology;
- Fighting;
- Abusive or foul language; and
- Physical harassment, sexual harassment, or disrespect toward another graduate student, employee, visitor, vendor, or other member of the public.

Relay regards code of conduct violations as serious offenses and will treat transgressions against this code as such. Code of conduct violations may therefore result in suspension or dismissal.

DUE PROCESS PROCEDURES FOR GRADUATE STUDENTS

If graduate students are charged with a violation of the Code of Conduct or a Relay policy, students will be informed in writing of the suspected violations and will have an opportunity to meet and discuss the charges and to learn what evidence Relay has to support the charges. Any graduate students charged with a violation will be given a full opportunity to present their position and to provide evidence to support their position. Graduate students and the Dean, or her designee, upon completion of the investigation, may reach a mutually acceptable resolution that will end the matter. If no mutual informal resolution is reached, a determination of whether or not there is a violation and the sanction to be imposed (which may take into

account the graduate students' previous records) will be provided to graduate students in writing.

Graduate students may appeal the determination made, the sanction, or both. The appeal should be made in writing and sent to the Dean within 10 calendar days of the determination's being sent. The grounds for an appeal are that new information not previously available should be taken into consideration, that there were procedural irregularities in the process that significantly affected the determination, or that the sanction imposed is not appropriate for the violation. The appeal should clearly set forth the basis of the appeal and explain the graduate students' position on the appeal. If there is any supporting documentation, it should be supplied. The Dean or a designee will consider the appeal by a review of the record and what graduate students have submitted. The person conducting the review may decide to meet with graduate students, but a meeting is not required. The decision on appeal may be to uphold, in whole or on part, the determination of a violation, to sustain or modify, in whole or in part, the sanction applied, or to return the matter to the Dean for further review. The decision of the Dean's Office is the final review.

NON-DISCRIMINATION POLICY

Relay is committed to a policy of actively supporting equality for all persons. Relay does not discriminate on the basis of race, color, religion, creed, sex, sexual orientation, national origin, ancestry, age, marital status, citizenship status, veteran status, disability, or any other criterion specified by federal, state, or local laws, in the administration of its admissions, employment and educational policies, or scholarship, loan, and other school-administered programs. Rather, Relay affirms that it admits students and selects employees regardless of their race, color, religion, creed, sex, sexual orientation, national origin, ancestry, age, marital status, citizenship status, veteran status, disability, or any other criterion specified by federal, state, or local laws and thereafter accords them all the rights and privileges generally made available to students or employees at the school.

HARASSMENT POLICY

A. OVERVIEW

It is the policy of Relay to prohibit harassment from occurring at the institution or at any other place where a Relay-sponsored event takes place. Although this policy primarily focuses on sexual harassment, similar conduct that creates a hostile environment for graduate students or employees based on other protected characteristics (e.g., race, religion) will be handled in a similar fashion. The purpose of this policy is not to regulate personal morality or to encroach on the personal lives of graduate students or employees. Rather, in the spirit of Relay's mission to teach teachers to develop in all students the academic skills and strength of character needed

to succeed in college and life, this policy demonstrates Relay's commitment to maintaining a supportive academic environment and high standards of character that are not compromised by harassment of the institution's graduate students and employees. It is also designed to comply with applicable law.

With respect to Relay employees, this policy applies to full-time employees, part-time employees, interns, and independent contractors, as well as to other types of Relay personnel.

B. DEFINING HARASSMENT

Unwelcome sexual advances, requests for sexual favors, and other verbal, physical, or visual conduct of a severe, persistent, or pervasive sexual nature constitute harassment when:

- submission to such conduct is made, either explicitly or implicitly, a term or condition affecting academic or employment decisions;
- submission to or rejection of such conduct by graduate students or employees is used as the basis for an academic or employment decision affecting graduate students or employees; or
- such conduct has the purpose or the effect of unreasonably interfering with graduate students' or employees' work performance, or of creating an intimidating, hostile, or offensive environment

Sexual harassment may include such actions as: repeated offensive or unwelcome sexual flirtations and advances; verbal comments, jokes, or innuendo of a sexual nature; words or gestures of a sexual nature used to describe a person or depict a situation; or the display of sexually suggestive objects or pictures.

C. INVESTIGATION AND REMEDIATION

If graduate students or employees believe that they have experienced sexual harassment, or believe that they have witnessed sexual harassment, they should immediately notify the Director of Operations and Title IX Coordinator, David Jordan (djordan@relay.edu). If a claim of harassment involves conduct by the Dean, the Provost, the Chief Operating Officer, or the President, graduate students or employees should report the concern directly to Relay's Chair of the Board or to this person's designee.

All reports of sexual harassment will be promptly investigated. If an informal, administrative resolution is mutually acceptable to all parties and can resolve the matter, it will be implemented. If this is not achieved, then Relay will investigate the matter and, if appropriate, determine the corrective action to be taken. Either party to the process may request a review of the corrective action taken if not satisfied with the process, the determination, or the sanction imposed.

Information about claims of harassment will be kept confidential to the extent consistent with a credible investigation.

It is important to understand that harassing conduct that may not constitute a violation of this policy may still constitute conduct that is unprofessional or is a violation of other Relay conduct standards.

IMPORTANT NOTICE TO ALL GRADUATE STUDENTS AND EMPLOYEES: Graduate students and employees who have experienced conduct, witnessed conduct, or been told of conduct that may violate this policy have an obligation to report the conduct in accordance with this complaint procedure. Graduate students' or employees' failure to fulfill this obligation could affect the ability of Relay to investigate a matter fully and could permit inappropriate conduct to continue. Also, please note that federal, state, and local discrimination laws and regulations establish specific time frames for initiating a proceeding.

If an investigation confirms that harassment has occurred, Relay shall take appropriate corrective action. For graduate students, confirmed cases of harassment shall be treated as violations of Relay's Code of Conduct, with corrective action implemented as per the Code of Conduct. For employees, corrective action may include, but not necessarily be limited to, an official memorandum in an employee's personnel file, salary adjustment of the offending employee, or the termination of the offending employee. In addition, Relay may require that graduate students or employees engage in training or counseling to develop a better understanding of the policy prohibiting harassment and to prevent another occurrence. The proper supervisor or academic advisor may also follow up with graduate students or employees after corrective action has been taken to ensure that the harassment has ceased and to determine whether any retaliatory actions have occurred.

No graduate students or employees shall be subject to retaliation, intimidation, or discipline as a result of making a complaint of harassment or participating in an investigation. However, disciplinary action up to and including dismissal may be taken against anyone who knowingly makes a false, meritless, or malicious claim of harassment.

ACADEMIC FREEDOM

While Relay is committed to the principles of free inquiry and free expression in the educational program and in research, harassment identified in this policy is neither legally protected expression nor the proper exercise of academic freedom.

STUDENT GRIEVANCE POLICY

The Student Grievance Procedure is available to any graduate students who seek to resolve any grievance involving an alleged violation directly affecting that student, committed by any member of the Relay community while acting in an official capacity (e.g., faculty member, administrator, staff member), of any of the written Relay policies.

When a grievance occurs, graduate students must address the faculty/staff member directly and, if necessary, the faculty member's program director or staff member's supervisor. If no satisfactory resolution is made through these means, the student may file an official grievance by filing the Student Grievance Form, available by contacting the Dean's Office or Office of Enrollment Services, with the Dean.

DISABILITY POLICY

Relay will ensure that graduate students with learning, physical, and/or psychological difficulties and/or disabilities are able to complete the program's coursework with appropriate support and/or accommodations from Relay staff, if needed. This support and/or these accommodations will be monitored, reviewed, and adjusted as necessary.

Upon admission to Relay, graduate students will be entitled to receive the support needed that relates to the disability. If graduate students are interested in receiving such support and/or accommodations, they must register with the Office of Enrollment Services by downloading and completing a disabilities disclosure form. Directions for accessing and submitting the form are available in the GEN-101 module on the Course Platform. The Office of Enrollment Services and the Dean will review graduate students' registration information and supporting documents and begin coordinating support and/or accommodations. If appropriate, Relay may refer graduate students to professional resources when deciding the level of disability and the level of further help and support required as identified.

For graduate students with physical disabilities, Relay will ensure that access to classroom facilities is appropriate and relocate teaching areas if required. Relay will also ensure that, where possible, all classroom facilities are accessible and, where this is not feasible, ensure that alternative arrangements are made and that support and assistance are provided whenever possible.

OPEN DOOR POLICY

Relay is committed to providing a welcoming environment to those who wish to learn from the institution and help it improve. Therefore, many visitors regularly observe at Relay. When those visitors are members of the press, Relay will always (a) send faculty members and graduate students an email in advance of journalists' presence in classes and (b) inform journalists that

neither faculty members' nor graduate students' names or identifying information may be used without their direct consent. Relay encourages graduate students to obtain permission from their school leaders before sharing school-level information with the press. No visitor may record, photograph, or film a Relay session without the prior permission of the Dean's Office, Provost, or President.

Appendix 7: Academic Policies in the Program Guide

RETAKE FAILED MODULES

If graduate students have not demonstrated foundational knowledge on a module assessment (i.e., earned at least a “2”) by the end of the term, these students’ low scores will be factored into their RSA for the term, *and* they will be required to enroll in a “Tutorial” version of that module in the subsequent term (e.g., TC-102T). Tutorials are designed to provide small-group support for students as they work to demonstrate mastery of the module content.

Select modules in the Relay GSE program are prerequisites for future modules and must be retaken and passed before moving forward in the program. In particular, Student Growth and Achievement (SGA) modules and Content modules have particular guidelines:

- SGA Modules: Graduate students must demonstrate proficiency (i.e., earn at least a “3”) on all SGA modules in the order they are sequenced. If graduate students fail any Year 1 SGA module, the students will have the opportunity to demonstrate proficiency during summer tutorial SGA modules. Graduate students who do not demonstrate proficiency in the Year 1 SGA modules by the end of the summer term will be required to repeat the Year 1 SGA sequence in Year 2, which will lead to a third year of SGA Relay coursework. If graduate students fail any Y2 SGA module, they will not be able to move forward with SGA coursework that school year and will be required to return for a third year of SGA Relay coursework.

ACADEMIC HONESTY AND COLLABORATION

Relay GSE regards acts of academic dishonesty (e.g., plagiarism, cheating on examinations, obtaining unfair advantage, and falsification of records or official documents) as serious offenses against the values of intellectual honesty. Relay GSE will treat any deliberate use of others’ work without citation as plagiarism. Graduate students who use school- or district-provided materials or materials from a published curriculum must cite their sources in the text in such a way as to make clear which portions of the work came from sources other than the graduate students themselves. The majority of a submitted assessment should be graduate students’ original written work.

Any suspicion of academic dishonesty will be carefully examined in the following manner:

- If a faculty member suspects graduate students have committed acts of academic dishonesty, the faculty member will first confer with the graduate students
- If the graduate students admit to the violation, the faculty member—in consultation with the Assistant Dean of Students—will administer a penalty commensurate with the offense. The penalty could range from a deduction in Professionalism to dismissal from the program
- If the graduate students contest the allegation of academic dishonesty, the case will be reviewed by the Assistant Dean of Students. The Assistant Dean’s judgment is final
- Repeated violations of the academic honesty policy may result in dismissal from the program

Teaching is a highly collaborative profession. Therefore, verbal collaboration with colleagues is permitted, provided that all collaborators share equally in the completion of the assessment and that all collaborators demonstrate the knowledge and skills necessary to complete the work. **All collaboration should be verbal in nature, and graduate students should submit unique, individual written work for each assessment. Graduate students must list collaborator(s) on the assessment template.** Failure to list a collaborator on an assessment will, at minimum, negatively affect graduate students’ professionalism scores and may lead to additional academic sanctions (e.g., overall module score penalty, resubmission of a module, etc.).

If graduate students feel that there is a compelling reason to turn in the same written work as a colleague, the students must email their faculty members a proposal, including rationale, for the collaboration at least a week in advance of the collaborative submissions. Exceptions to the collaboration policy will be made on a case-by-case basis by the Dean's Office.

GRADE APPEALS

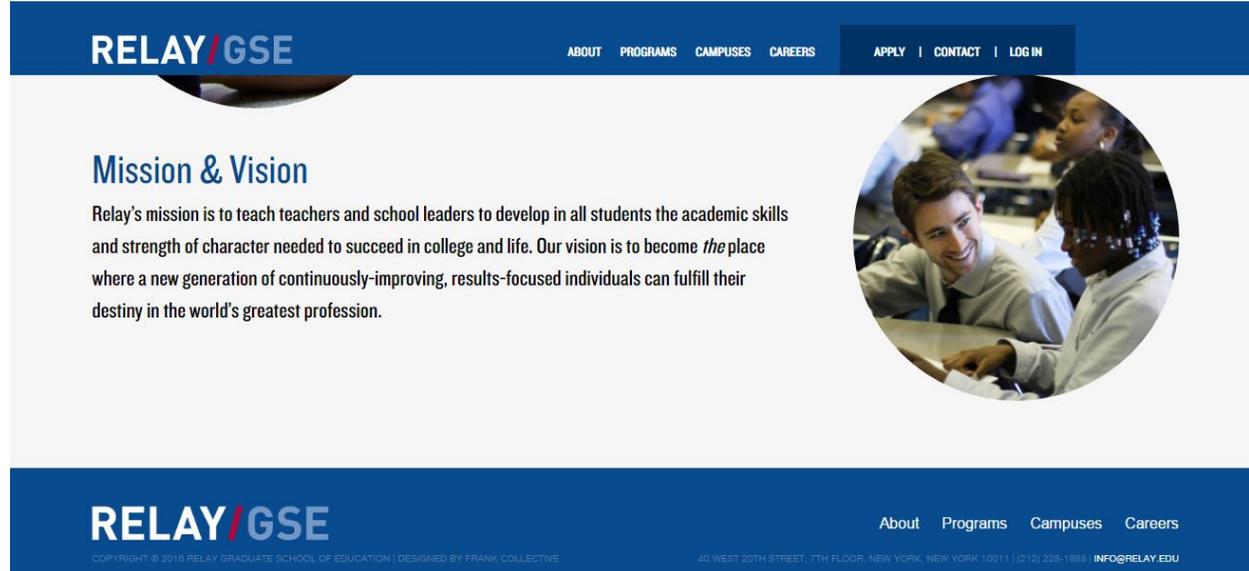
If graduate students receive rubric scores that they do not believe represents their performance on an assessment, the students may appeal the score. They should first email the faculty member who assigned the score within one week of receiving the score. The faculty member will review the related documents and discuss any discrepancies in opinions with the graduate student; the faculty member will then reconsider his or her decision about the score. If, after receiving a decision from the faculty member, the graduate students still do not agree with the score, they may appeal to the Dean for a second consultation. The Dean's decision will be final. The graduate students will receive notice of the status of the appeal within one week.

EXTENSION REQUESTS

If graduate students cannot complete an assessment on time or need to reschedule a classroom observation due to extreme circumstances outside of the students' control (e.g., hospitalization, school schedule change, etc.), graduate students must email the relevant faculty member as soon as possible to explain the situation and request an extension. In less extreme circumstances, the graduate students should contact the relevant faculty member to request an extension well in advance of the deadline. The granting of the extension is at the faculty member's discretion. In either case, the graduate students and their faculty members will determine a reasonable extension deadline.

Appendix 8: Relay GSE Website Screenshots

Mission and Vision:



The screenshot shows the top navigation bar with the Relay GSE logo and links for ABOUT, PROGRAMS, CAMPUSES, CAREERS, APPLY, CONTACT, and LOGIN. Below the navigation is a circular image of two students smiling. The main heading is "Mission & Vision". The text reads: "Relay's mission is to teach teachers and school leaders to develop in all students the academic skills and strength of character needed to succeed in college and life. Our vision is to become *the* place where a new generation of continuously-improving, results-focused individuals can fulfill their destiny in the world's greatest profession."

Governance and Administration:



The screenshot shows the top navigation bar with the Relay GSE logo and links for ABOUT, PROGRAMS, CAMPUSES, CAREERS, APPLY, CONTACT, and LOGIN.

SENIOR LEADERSHIP



MICHELLE ARMSTRONG
DEAN OF RELAY TENNESSEE

As founding Dean of Relay Tennessee, Michelle Armstrong leads teacher training for the Memphis campus and provides oversight for the Nashville campus. Armstrong is a proud...

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NORMAN ATKINS
CO-FOUNDER AND PRESIDENT

As Relay's co-founder and president, Norman Atkins has led the institution since 2006. Atkins is also the founder, board chair and former CEO of...

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SHEMANNE DAVIS
DEAN OF RELAY PHILADELPHIA & CAMDEN

As the founding dean of Relay Philadelphia & Camden, Shemanne Davis supervises teacher training and support in the region. Most recently, Davis taught and supported...

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CHRISTINE EISENHAUER
DEAN OF RELAY DELAWARE

As founding dean of Relay Delaware, Christine Eisenhauer directs Relay's programs and oversee all aspects of teacher training in the First State. As a native Delawarean,...

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PIPER EVANS
CHIEF FINANCIAL OFFICER

As Relay's chief financial officer, Piper Evans is responsible for all aspects of financial management and planning at Relay. Most recently, Evans consulted on economic...

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JENNIFER FRANCIS
DEAN OF RELAY LOUISIANA

As the founding dean of Relay Louisiana, Jennifer Francis oversees all aspects of our teacher training in New Orleans and Baton Rouge. For ten years, Francis has been...

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CHRIS FRASER
DEAN OF RELAY GSE HOUSTON

As dean of Relay Houston, Chris Fraser oversees all aspects of our teacher training in Houston. He steadfastly believes that all students can achieve, and that all...

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REBECCA GOOD
DEAN FELLOW OF RELAY CONNECTICUT

As founding Dean of Relay Connecticut, Rebecca Good will lead teacher training and support in Connecticut. She began her career over a decade ago joining the first Teach...

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MAYME HOSTETTER
DEAN

As Relay's dean, Mayme Hostetter manages our deans in Chicago, Houston and New Orleans, as well as faculty and academic programs in New York City. Before joining Relay in...

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PAMELA INBASEKARAN
CHIEF TALENT OFFICER

As Relay's chief talent officer, Pamela Inbasekaran develops and implements the systems to recruit, support and strengthen our faculty and staff. Previously, Inbasekaran...

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LINDA LENTZ
DEAN FELLOW OF RELAY NASHVILLE

As founding Dean Fellow of Relay Nashville, Linda Lentz leads the teacher training curriculum for the campus. As an educational leader and entrepreneur, Linda has a...

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BRENT MADDIN
PROVOST

As Relay's provost, Brent Maddin sets the vision for our curriculum and manages our curriculum design, institutional research and programmatic innovation. Relay grew out...

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JESSE RECTOR
DEAN OF LEADERSHIP PROGRAMS

As dean of leadership programs at Relay, Jesse Rector manages and implements training for current and aspiring school leaders. In this role, he teaches courses on...

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TIM SAINTSING
CHIEF OPERATING OFFICER

As Relay's chief operating officer, Tim Saintsing oversees the day-to-day operations of our institution. Before joining Relay, Saintsing was the co-director for operations...

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MINDY SJOBLUM
DEAN OF RELAY CHICAGO

As the founding dean of Relay Chicago, Mindy Sjoblom is Relay's lead instructor in the Windy City. A Chicago native and career educator, Sjoblom is uniquely qualified to...

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JAMEY VERRILLI
DEAN OF RELAY NEWARK

As dean of Relay Newark, Jamey Verrilli oversees all teacher-training programs in Newark. Since the beginning of his career, Verrilli has fought for community development...

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THERESE ZOSEL-HARPER
DEAN OF RELAY DENVER

As founding dean of Relay Denver, Therese Zosel-Harper directs the Mile High City's growing teacher training programs. Before joining Relay Denver, she served as Relay New...

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Program Information:

The screenshot shows the top portion of the Relay/GSE website. At the top is a dark blue navigation bar containing the Relay/GSE logo on the left, social media icons for Facebook, Twitter, and LinkedIn, and three buttons labeled 'APPLY', 'CONTACT', and 'LOG IN'. Below the navigation bar are menu items: 'ABOUT', 'PROGRAMS', 'CAMPUSES', 'CAREERS', and a search bar with a magnifying glass icon and the text 'Search'. The main hero section features a large, blurred photograph of a smiling man with a beard in a white shirt, sitting at a table in a classroom or meeting setting. The word 'PROGRAMS' is overlaid in large, white, bold, sans-serif capital letters on the left side of the image.



Whether you're an aspiring teacher or already have years of experience in schools, Relay offers a program for you. Our graduate-level offerings include residencies, fellowships, master's degrees, and certification programs.

FOR TEACHING RESIDENTS

Through the Relay Teaching Residency, learn and practice proven techniques, apprentice with a great teacher, earn a master's degree, and set yourself up for a great, long-term career in schools.

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PROGRAMS:

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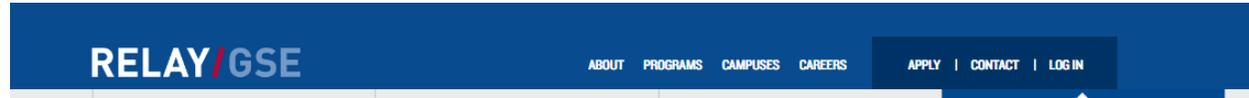
[Relay Teaching Residency: New Orleans](#)

[Relay Teaching Residency: New York](#)

[Relay Teaching Residency: Philadelphia & Camden](#)

Admission:

Note: The Admissions Policy below is for Relay GSE's Denver location to provide an example of how Relay GSE location-specific admissions policies appear on Relay GSE's website. Upon approval from the commission, Relay GSE Bay Area will update the admission criteria so that it aligns with requirements from the state of California.



HOW TO APPLY

***PRIORITY ADMISSIONS DEADLINE: Wednesday, June 15, 2016**

**A priority deadline means that complete applications submitted by that date will be prioritized. Applicants who wish to apply after that date should contact denver@relay.edu for guidance as to whether or not they are still eligible apply.*

At this time, Relay Denver only accepts applications to the Teaching Residency program through partnerships with local schools. Applicants must accept an official offer from one of our partner schools in order to be eligible to apply to the Relay Denver Teaching Residency.

Applicants invited to apply to the Relay Denver Teaching Residency must submit a completed admissions application and provide additional supporting materials. The Relay admissions application (called: "**ADMISSIONS Application for Teachers seeking an M.A.T. and/or Teacher Certification**") includes the following components:

- Applicant information, including education and employment information;
- A resume;
- An essay;
- Contact information for at least one recommender, whom Relay will contact;
- A \$50 non-refundable, application fee (paid via the online application system); and
- Sealed hard copies of official transcripts from all colleges and universities attended (even where a degree was not earned) addressed to:

Relay Graduate School of Education
Office of Enrollment Services
40 West 20th Street, Floor 7
New York, NY 10011



ADMISSIONS CRITERIA

To be considered for admission to the Relay Teaching Residency program, applicants must meet the following minimum criteria:

- Full-time employment as a teacher-in-residence at a Relay Denver partner school in the 2016-2017 school year. If employment is terminated, graduate students have one month to regain employment as a K-12 teacher before he or she is at risk of being administratively withdrawn from the program;
- An official, hard copy, degree-conferred undergraduate transcript that shows proof of a baccalaureate degree from an accredited institution of higher education; and
- A cumulative undergraduate grade point average of 3.0 or higher on a 4.0 scale (although applicants with a G.P.A. lower than 3.0 but at least 2.75 may be considered for admission by submitting an additional letter of recommendation that explains their qualifications for admission to Relay).
- Robust content knowledge, as demonstrated by one of the following criteria:
 - A major in, or closely related to, the intended teaching field. OR
 - A passing score on the appropriate PLACE or Praxis II Content test. If the applicant has not yet taken the PLACE or Praxis II, he or she can provide an upcoming test date. OR
 - 24 content hours in the field, pursuant to [CDE content area worksheet requirements](#).

CERTIFICATION REQUIREMENTS

Relay Teaching Residents will be eligible to apply for a Colorado Initial Teacher License after successful completion of Year 1 coursework (inclusive of the Summer 2 term).

NON-DISCRIMINATION POLICY

Relay is committed to a policy of actively supporting equality for all persons. Relay does not discriminate on the basis of race, color, religion, creed, sex, sexual orientation, national origin, ancestry, age, marital status, citizenship status, veteran status, disability or any other criterion specified by federal, state or local laws, in the administration of its admissions, employment and educational policies or scholarship, loan, and other school-administered programs. Rather, Relay affirms that it admits students, and selects employees regardless of their race, color, religion, creed, sex, sexual orientation, national origin, ancestry, age, marital status, citizenship status, veteran status, disability or any other criterion specified by federal, state or local laws and thereafter accords them all the rights and privileges generally made available to students or employees at the school.

Appendix 9: Retention and Completion Data

Table 1: Cohort of 2012 Completion and Retention Data

CO12- Completion and Retention by Campus									
	Overall Completion Rate	Chicago	Delaware	Houston	Newark	New Orleans	New York	Philadelphia	Leadership
Enrolled	68	N/A			68	N/A			
Number of Completers	59				59				
% Completion	86.8%				86.8%				

Table 2: Cohort of 2013 Completion and Retention Data

CO13- Completion and Retention by Campus									
	Overall Completion Rate	Chicago	Delaware	Houston	Newark	New Orleans	New York	Philadelphia	Leadership
Enrolled	291	N/A			82	N/A	209	N/A	
Number of Completers	224				69		155		
% Completion	77.0%				84.1%		74.2%		

Table 3: Cohort of 2014 Completion and Retention Data

CO14- Completion and Retention by Campus									
	Overall Completion Rate	Chicago	Delaware	Houston	Newark	New Orleans	New York	Philadelphia	Leadership
Enrolled	627	N/A			126	N/A	378	N/A	123
Number of Completers	512				106		301		105
% Completion	81.7%				84.1%		79.6%		85.4%

Table 4: Cohort of 2015 Completion and Retention Data

CO15- Completion and Retention by Campus									
	Overall Completion Rate	Chicago	Delaware	Houston	Newark	New Orleans	New York	Philadelphia	Leadership
Enrolled	849	N/A		37	147	53	417	N/A	195
Number of Completers	666			36	90	45	318		177
% Completion	78.4%			97.3%	61.2%	84.9%	76.3%		90.8%

Appendix 10: Relay GSE FY15 Audited Financials



FINANCIAL STATEMENTS

JUNE 30, 2015 and 2014



EisnerAmper LLP
750 Third Avenue
New York, NY 10017-2703
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www.eisneramper.com

INDEPENDENT AUDITORS' REPORT

Board of Trustees
Relay Graduate School of Education
New York, New York

Report on the Financial Statements

We have audited the accompanying financial statements of Relay Graduate School of Education (the "Organization"), which comprise the statements of financial position as of June 30, 2015 and 2014, and the related statements of activities, functional expenses and cash flows for the years then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

The Organization's management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the Organization's preparation and fair presentation of the financial statements, in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Organization's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Relay Graduate School of Education as of June 30, 2015 and 2014, and the changes in its net assets and its cash flows for the years then ended, in accordance with accounting principles generally accepted in the United States of America.

EisnerAmper LLP

New York, New York
December 10, 2015

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RELAY GRADUATE SCHOOL OF EDUCATION

Statements of Financial Position

	June 30,	
	<u>2015</u>	<u>2014</u>
ASSETS		
Current assets:		
Cash and cash equivalents	\$ 5,775,273	\$ 3,053,065
Investments	4,537,452	4,498,301
Grants and contributions receivable - current portion	4,791,551	3,084,585
Tuition receivable (net of allowance for doubtful accounts of \$819,790 and \$664,338 as of June 30, 2015 and 2014, respectively)	5,018,810	2,915,735
Prepaid and other assets - current portion	<u>212,940</u>	<u>1,120,018</u>
Total current assets	20,336,026	14,671,704
Grants and contributions receivable	1,269,581	1,952,282
Prepaid and other assets		10,395
Property and equipment, net	<u>535,665</u>	<u>670,865</u>
Total assets	<u>\$ 22,141,272</u>	<u>\$ 17,305,246</u>
LIABILITIES		
Current liabilities:		
Accounts payable and accrued expenses	\$ 1,142,511	\$ 673,694
Deferred revenue	<u>3,906,020</u>	<u>2,541,945</u>
Total current liabilities	5,048,531	3,215,639
Note payable to related party	3,025,274	3,025,274
Deferred rent	<u>325,857</u>	<u>392,256</u>
Total liabilities	<u>8,399,662</u>	<u>6,633,169</u>
Commitments (Note J)		
NET ASSETS		
Unrestricted	3,416,092	2,357,979
Temporarily restricted	<u>10,325,518</u>	<u>8,314,098</u>
Total net assets	<u>13,741,610</u>	<u>10,672,077</u>
Total liabilities and net assets	<u>\$ 22,141,272</u>	<u>\$ 17,305,246</u>

See notes to financial statements

2

RELAY GRADUATE SCHOOL OF EDUCATION

Statements of Activities

	Year Ended June 30,					
	2015			2014		
	Unrestricted	Temporarily Restricted	Total	Unrestricted	Temporarily Restricted	Total
Public support and revenue:						
Grants and contributions (including in-kind contributions of \$22,505 and \$68,124 in 2015 and 2014, respectively)	\$ 2,236,099	\$ 11,396,019	\$ 13,632,118	\$ 2,948,018	\$ 7,932,837	\$ 10,880,855
Contributions from related party (including in-kind contributions of \$78,052 and \$75,632 in 2015 and 2014, respectively)	78,052	500,000	578,052	75,632	500,000	575,632
Tuition and instructional fees, net of financial assistance of \$1,430,357 and \$792,545 in 2015 and 2014, respectively	11,634,020		11,634,020	8,424,061		8,424,061
Investment and other income	76,711		76,711	41,616		41,616
	14,024,882	11,896,019	25,920,901	11,489,327	8,432,837	19,922,164
Net assets released from restrictions	9,884,599	(9,884,599)	0	5,991,207	(5,991,207)	0
Total public support and revenue	23,909,481	2,011,420	25,920,901	17,480,534	2,441,630	19,922,164
Expenses:						
Program	21,098,135		21,098,135	15,305,819		15,305,819
Management and general	1,149,137		1,149,137	1,100,228		1,100,228
Fundraising	604,096		604,096	415,027		415,027
Total expenses	22,851,368		22,851,368	16,821,074		16,821,074
Increase in net assets	1,058,113	2,011,420	3,069,533	659,460	2,441,630	3,101,090
Net assets, beginning of year	2,357,979	8,314,098	10,672,077	1,698,519	5,872,468	7,570,987
Net assets, end of year	\$ 3,416,092	\$ 10,325,518	\$ 13,741,610	\$ 2,357,979	\$ 8,314,098	\$ 10,672,077

See notes to financial statements

3

RELAY GRADUATE SCHOOL OF EDUCATION

Statements of Functional Expenses

	Year Ended June 30,							
	2015				2014			
	Program Services	Management and General	Fund-Raising	Total	Program Services	Management and General	Fund-Raising	Total
Salaries and fringe benefits	\$ 12,637,570	\$ 635,655	\$ 395,230	\$ 13,668,455	\$ 9,260,292	\$ 483,800	\$ 280,659	\$10,024,751
Lease and utilities	775,482	13,869		789,351	731,598	15,743		747,341
Maintenance and other occupancy	133,260	2,602		135,862	109,201	2,855		112,056
Course instruction	2,918,857			2,918,857	1,803,908			1,803,908
Information technology	887,876	9,402		897,278	552,534	7,025	663	560,222
Travel and lodging	618,832	10,944	33,784	663,560	457,788	4,543	27,619	489,950
Student travel and lodging	1,526,277			1,526,277	1,109,056			1,109,056
Recruitment and professional development	488,125	18,339	44	506,508	319,780	13,861		333,641
Student recruitment and outreach	59,302			59,302				
Professional and consulting fees	360,332	120,466	166,584	647,382	273,929	71,825	105,963	451,717
Office expense	202,605	6,803		209,408	185,203	7,498	123	192,824
Contracted services	69,249	25,263		94,512	57,381	24,311		81,692
Insurance	127,621	4,639		132,260	100,384	4,156		104,540
Interest expense		78,052		78,052		75,632		75,632
Depreciation and amortization	228,060	5,469	8,298	241,827	298,820	4,593		303,413
Reserve for bad debt		215,525		215,525		384,000		384,000
Other	64,687	2,109	156	66,952	45,945	386		46,331
Totals	<u>\$ 21,098,135</u>	<u>\$ 1,149,137</u>	<u>\$ 604,096</u>	<u>\$ 22,851,368</u>	<u>\$ 15,305,819</u>	<u>\$ 1,100,228</u>	<u>\$ 415,027</u>	<u>\$16,821,074</u>

See notes to financial statements

RELAY GRADUATE SCHOOL OF EDUCATION

Statements of Cash Flows

	Year Ended June 30,	
	<u>2015</u>	<u>2014</u>
Cash flows from operating activities:		
Increase in net assets	\$ 3,069,533	\$ 3,101,090
Adjustments to reconcile increase in net assets to net cash provided by operating activities:		
Depreciation and amortization	241,827	303,413
Realized and unrealized (gain) loss on investments	8,264	(2,309)
Change in reserve for bad debt	215,525	384,000
Gain on sale of property and equipment		(300)
Changes in:		
Grants and contributions receivable	(1,024,265)	(1,229,500)
Tuition receivable	(2,318,600)	(891,559)
Prepaid expenses and other assets	917,473	(547,798)
Accounts payable and accrued expenses	468,817	377,485
Deferred rent	(66,399)	(44,195)
Deferred revenue	<u>1,364,075</u>	<u>546,885</u>
Net cash provided by operating activities	<u>2,876,250</u>	<u>1,997,212</u>
Cash flows from investing activities:		
Purchases of property and equipment	(106,627)	(272,213)
Proceeds from sales of property and equipment		300
Purchases of investments	(47,415)	(4,523,966)
Proceeds from sales of investments		<u>2,004,629</u>
Net cash used in investing activities	<u>(154,042)</u>	<u>(2,791,250)</u>
Net change in cash and cash equivalents	2,722,208	(794,038)
Cash and cash equivalents, beginning of year	<u>3,053,065</u>	<u>3,847,103</u>
Cash and cash equivalents, end of year	<u>\$ 5,775,273</u>	<u>\$ 3,053,065</u>

See notes to financial statements

5

RELAY GRADUATE SCHOOL OF EDUCATION

Notes to Financial Statements
June 30, 2015 and 2014

NOTE A - ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

[1] Organization:

Relay Graduate School of Education (the "Organization") was organized under the education law of the State of New York in February 2011, to improve the training and preparation of teachers and school leaders. The Organization commenced operations on July 1, 2011 and received its public charity determination from the Internal Revenue Service in September 2011.

The Organization's mission is to teach teachers to develop in all students the academic skills and strength of character needed to succeed in college and life. It aims to play an instrumental role in addressing the urgent need to prepare effective teachers focused on impacting student growth, with an emphasis on preparing teachers who aim to close the achievement gap in urban and/or low-income communities. To that end, the Organization operates a graduate school with innovative programs that lead toward teacher certification and/or a master's degree. Specifically, the Organization works to enhance curriculum, learning tools, faculty recruitment and training, assessment, technology used in education, research, teacher recruitment methods and other materials and processes required to train, recruit and retain great teachers.

To further support its mission, the Organization has developed a training program for both current and aspiring school leaders (i.e., principals) in order to align school leadership with effective teachers' instruction to drive student achievement. To that end, the Organization has built new curriculum and learning tools, developed new strategies to recruit and train faculty, and invested in assessments, technology used in education, research, teacher recruitment methods and other materials and processes required to train, recruit and retain great school leaders.

The Organization is exempt from federal income tax under section 501(c)(3) of the U.S. Internal Revenue Code and from state and local taxes under comparable laws.

[2] Basis of accounting:

The accompanying financial statements of the Organization have been prepared using the accrual basis of accounting and conform to accounting principles generally accepted in the United States of America as applicable to not-for-profit entities.

[3] Use of estimates:

The preparation of financial statements in conformity with generally accepted accounting principles requires the Organization's management to make estimates and assumptions that affect the reported amounts of assets, liabilities, revenues and expenses and the disclosure of contingent assets and liabilities. Actual results could differ from those estimates.

[4] Cash and cash equivalents:

For financial reporting purposes, the Organization considers all highly liquid investments with a maturity of three months or less at the date of purchase to be cash equivalents.

[5] Investments, investment income and capital appreciation:

Investments in short-term bond funds are stated at their fair values at fiscal year-end. Net investment income is recorded in the accompanying statement of activities. Realized and unrealized gains and losses on investments are recorded in accordance with donor intent.

RELAY GRADUATE SCHOOL OF EDUCATION

Notes to Financial Statements
June 30, 2015 and 2014

NOTE A - ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

[6] Deferred rent:

Rent expense is recognized using the straight-line method over the terms of the lease. The difference between rent expense incurred and the rental amounts paid, which is attributable to scheduled rent increases, is reported as a "deferred rent" obligation in the accompanying statements of financial position.

[7] Net assets:

The accompanying statements of activities present the changes in the various classifications of net assets for the year. The net assets of the Organization and changes therein are classified based on donor-imposed restrictions and are reported as follows:

(i) *Unrestricted:*

Unrestricted net assets represent those resources for which there are no restrictions by donors as to their use.

(ii) *Temporarily restricted:*

Temporarily restricted net assets represent those resources the use of which has been restricted by donors to specific purposes or time periods. The release of net assets from restriction results from the satisfaction of the restricted purposes specified by the donor.

[8] Revenue recognition:

Grants and contributions to support the Organization's operations are recognized as unrestricted. Contributions received which support future operations or donor-restricted purposes are reflected as temporarily restricted contributions in the accompanying financial statements. Unconditional promises to give are recorded at fair value at the date the promise is received. Unconditional promises to give that are expected to be received after one year are discounted at a risk-free interest rate determined annually, and amortization of the discount is included in grants and contribution revenues. Conditional promises to give are reported at fair value at the date the conditions are met.

Government grants are recognized either when the services are performed or when the expenditures are incurred. Cash received prior to providing services is deferred to future periods.

Tuition and instructional fees are recognized as educational services are provided. Tuition and instructional fees received prior to fiscal year-end for the following academic year are deferred and subsequently recognized as revenue as educational services are provided.

[9] Property and equipment:

The Organization's property and equipment are reported at their costs at the dates of acquisition or at their fair values at the dates of donation. Purchases greater than \$5,000 with a useful life of greater than one year are capitalized. Minor costs of repairs and maintenance are expensed as incurred.

Depreciation and amortization is calculated using the straight-line method over the assets' estimated useful lives. Leasehold improvements are depreciated over the life of the lease; furniture and fixtures are depreciated over five years; computer equipment, IT development and software are depreciated over three years.

RELAY GRADUATE SCHOOL OF EDUCATION

Notes to Financial Statements
June 30, 2015 and 2014

NOTE A - ORGANIZATION AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)

[10] Functional allocation of expenses:

The costs of the Organization's various activities have been summarized on a functional basis in the accompanying statements of functional expenses. Accordingly, certain expenses have been allocated between the program and supporting service categories in reasonable ratios determined by management.

[11] Income tax uncertainties:

The Organization is subject to the provisions of the Financial Accounting Standards Board's ("FASB") Accounting Standards Codification ("ASC") Topic 740, *Income Taxes*, relating to accounting and reporting for uncertainty in income taxes. Due to the Organization's general tax-exempt status, ASC Topic 740 has not had, and is not anticipated to have, a material impact on the Organization's financial statements.

[12] Fair-value measurement:

The Organization reports a fair-value measurement of all applicable financial assets and liabilities, including investments, grants and contributions receivable, and short-term payables.

[13] Subsequent events:

The Organization considers all of the accounting treatments, and the related disclosures in the current fiscal-year's financial statements, that may be required as the result of all events or transactions that occur after fiscal year-end through December 10, 2015, the date financial statements were available to be issued.

NOTE B - INVESTMENTS

At each fiscal year-end, the Organization's investments consisted of the following:

	June 30,			
	2015		2014	
	Cost	Fair Value	Cost	Fair Value
Short-term bond funds	<u>\$ 4,549,826</u>	<u>\$ 4,537,452</u>	<u>\$ 4,502,411</u>	<u>\$ 4,498,301</u>

During each fiscal year, net investment income consisted of the following:

	June 30,	
	2015	2014
Interest and dividends	\$ 45,939	\$ 38,890
Net realized losses		(6,259)
Unrealized gains (losses)	<u>(8,264)</u>	<u>8,568</u>
	<u>\$ 37,675</u>	<u>\$ 41,199</u>

RELAY GRADUATE SCHOOL OF EDUCATION

Notes to Financial Statements
June 30, 2015 and 2014

NOTE B - INVESTMENTS (CONTINUED)

The FASB's ASC Topic 820, *Fair Value Measurements and Disclosures*, establishes a three-level valuation hierarchy of fair value measurements. These valuation techniques are based on observable and unobservable inputs. Observable inputs reflect market data obtained from independent sources, while unobservable inputs reflect market assumptions. These two types of inputs create the following fair value hierarchy:

- Level 1: Valuations are based on observable inputs that reflect quoted market prices in active markets for those investments, or similar investments, at the reporting date.
- Level 2: Valuations are based on (i) quoted prices for those investments, or similar investments, in active markets, or (ii) quoted prices for those investments, or similar investments, in markets that are not active, or (iii) pricing inputs other than quoted prices that are directly or indirectly observable at the reporting date. Level 2 assets include those investments that are redeemable at or near the balance sheet date and for which a model was derived for valuation.
- Level 3: Valuations are determined based on pricing inputs that are unobservable and includes situations where (i) there is little, if any, market activity for the investments, or (ii) the investments cannot be independently valued, or (iii) investments cannot be immediately redeemed at or near the fiscal year-end.

The investments held by the Organization at each fiscal year-end are Level 1 investments, and for each fiscal-year, there were no transfers among the fair value hierarchy levels.

NOTE C - GRANTS AND CONTRIBUTIONS RECEIVABLE

At each fiscal year-end, grants and contributions receivable consisted of the following:

	June 30,	
	2015	2014
Less than one year	\$ 4,791,551	\$ 3,084,585
One year to three years	<u>1,315,000</u>	<u>2,019,345</u>
	6,106,551	5,103,930
Reduction of pledges due in excess of one year to present value, using a discount rate of 2.35% and 2.5% for 2015 and 2014, respectively	<u>(45,419)</u>	<u>(67,063)</u>
	<u>\$ 6,061,132</u>	<u>\$ 5,036,867</u>

Management expects substantially all of the receivables to be fully collectible; accordingly, no allowance for doubtful amounts has been established.

RELAY GRADUATE SCHOOL OF EDUCATION

Notes to Financial Statements
June 30, 2015 and 2014

NOTE D - PROPERTY AND EQUIPMENT

At each fiscal year-end, property and equipment consisted of the following:

	June 30,	
	2015	2014
Furniture and fixtures	\$ 204,546	\$ 240,098
Leasehold improvements	511,349	502,772
IT development and software	<u>711,270</u>	<u>588,280</u>
	1,427,165	1,331,150
Less accumulated depreciation and amortization	<u>(891,500)</u>	<u>(690,035)</u>
	535,665	641,115
IT development in progress	<u> </u>	<u>29,750</u>
Net property and equipment	<u>\$ 535,665</u>	<u>\$ 670,865</u>

During the years ended June 2015 and 2014, fully depreciated property and equipment with an original cost of \$35,552 and \$18,626 was written off, respectively. During the year ended June 30, 2014, fully depreciated property and equipment with an original cost basis of \$9,503 was sold for \$300.

NOTE E - RELATED-PARTY TRANSACTIONS

Contributions:

During both fiscal-years 2015 and 2014, the Organization received a restricted contribution from Uncommon Knowledge and Achievement, Inc. ("UKA") of \$500,000 to be used for scholarships to students of the Organization. Although certain board members of the Organization are also board members of UKA, the criteria for consolidation have not been met.

Note payable:

The Organization entered into a memorandum of agreement (the "MOA") with UKA effective July 1, 2011. The MOA provides for the ability of the Organization to access up to \$5,000,000 of funds from UKA. These advances are non-interest bearing and the terms of repayment initially stipulated that the funds shall not be repaid before July 1, 2014. In June 2014, the Organization and UKA amended the agreement to extend the commencement of repayment of the note to July 1, 2017. The period of repayment is presently being negotiated. As of June 30, 2015 and 2014, the funds drawn down under this agreement total \$3,025,274. The imputed interest on the loan for fiscal-years 2015 and 2014 was estimated to be \$78,052 and \$75,632, respectively, and is reported in the statement of activities as an in-kind contribution and interest expense.

RELAY GRADUATE SCHOOL OF EDUCATION

Notes to Financial Statements
June 30, 2015 and 2014

NOTE F - TEMPORARILY RESTRICTED NET ASSETS

At each fiscal year-end, temporarily restricted net assets consisted of the following:

	June 30,	
	2015	2014
Restricted for the following purposes:		
Expansion	\$ 6,627,649	\$ 6,348,992
Curriculum development	1,080,000	824,727
Leadership	2,073,644	300,000
New teacher pipeline project		156,663
Relay GSE Scholarships	<u>151,900</u>	<u>105,000</u>
	9,933,193	7,735,382
Restricted for time	<u>392,325</u>	<u>578,716</u>
	<u>\$ 10,325,518</u>	<u>\$ 8,314,098</u>

During each fiscal year, net assets released from restrictions resulted from satisfying the following donor restrictions:

	June 30,	
	2015	2014
Restricted for the following purposes:		
Expansion	\$ 3,413,109	\$ 1,785,230
Curriculum development	3,099,727	1,469,813
Leadership	2,126,000	1,125,000
New teacher pipeline project	156,663	243,164
Relay GSE scholarships	553,100	500,000
Program design/online learning		500,000
Communication strategy	36,000	18,000
Strategy consulting project	200,000	
Research	<u>100,000</u>	
	9,684,599	5,641,207
Time restrictions satisfied	<u>200,000</u>	<u>350,000</u>
Total	<u>\$ 9,884,599</u>	<u>\$ 5,991,207</u>

RELAY GRADUATE SCHOOL OF EDUCATION

Notes to Financial Statements June 30, 2015 and 2014

NOTE G - EMPLOYEE RETIREMENT PLAN

The Organization maintains a defined-contribution plan under Section 401(k) of the Internal Revenue Code, which covers substantially all full-time employees. Participants can make elective contributions subject to certain limitations. The Organization makes safe-harbor matching contributions on behalf of the participants. The Organization's contributions amounted to \$293,421 and \$225,596 for the years ended June 30, 2015 and 2014, respectively.

During fiscal-year 2012, the Organization adopted a deferred compensation plan for the benefit of the President under 457(b) of the Internal Revenue Code. A provision of \$17,500 and \$17,000 was made for this plan in fiscal-years 2015 and 2014, respectively.

NOTE H - CONCENTRATIONS

Credit risk:

The Organization maintains its cash in bank accounts which, at times, may exceed federally insured limits, and its investments are held at a major financial institution. Management believes that there is no significant risk that such financial institution will fail.

Revenue and receivables:

The Organization received grants and contributions from two unrelated private funders totaling approximately \$6,000,000 for fiscal-year 2015 that represented approximately 42% of total grants and contribution revenue. Grants and contributions receivable from three unrelated private funders totaled approximately \$3,350,000 and represented approximately 55% of grants and contributions receivable at June 30, 2015.

NOTE I - DONATED SERVICES

Contributions of services are recognized by the Organization as both revenues and expenses if the services (a) create or enhance nonfinancial assets or (b) require specialized skills, are provided by individuals possessing those skills, and would typically need to be purchased if not donated. The value of contributed legal services recognized in the accompanying statements of activities for the fiscal-years ended June 30, 2015 and 2014 was \$9,536 and \$55,532, respectively. In addition, in fiscal-years 2015 and 2014, the Organization received donated office and instructional space in New Jersey from an unrelated third party of \$12,970 and \$12,592, respectively.

NOTE J - COMMITMENTS

[1] Lease obligations:

In January 2013, the Organization and UKA entered into a new lease agreement for expanded office space expiring in May 2018. Under the MOA, the Organization is responsible for payment under the lease agreement. Rental expense for this space for fiscal-years 2015 and 2014 was approximately \$696,000.

As required by the lease, the Organization maintains a \$246,100 unused letter of credit in lieu of a security deposit.

RELAY GRADUATE SCHOOL OF EDUCATION

Notes to Financial Statements
June 30, 2015 and 2014

NOTE J - COMMITMENTS (CONTINUED)

[1] Lease obligations: (continued)

The future minimum annual lease payments under the lease agreement are as follows:

<u>Year</u>	<u>Amount</u>
2016	\$ 785,221
2017	808,777
2018	<u>761,716</u>
	<u>\$ 2,355,714</u>

[2] Employment agreement:

During fiscal-year 2012, the Organization entered into an employment agreement with its President expiring in June 2015, which has been extended to June 2016.

[3] Consulting agreements:

During fiscal year-end 2013, the Organization entered into an agreement with a research firm to perform a program evaluation extending through the end of fiscal-year 2018. The total fixed cost of the work is approximately \$434,000, of which at June 30, 2015 the remaining obligation of approximately \$271,000 is to be paid in equal monthly installments of approximately \$8,000 beginning in September 2015 through June 2018.

During fiscal year-end 2014, the Organization entered into another agreement with a research firm to perform a program evaluation extending through the beginning of fiscal-year 2019. The total fixed cost of the work is approximately \$325,000 to be paid in semi-annual installments over the course of the agreement. As of June 30, 2015, the remaining obligation of approximately \$245,000 is to be paid in semi-annual installments over the course of the agreement.

[4] Other agreements:

The Organization has entered into various contracts and agreements in the normal course of business operations.

NOTE K - 90/10 ATTESTATION

During fiscal-year 2015, the 90/10 attestation as required under CFR 668.23 was calculated as follows:

Federal direct loan program, cash basis	\$ 812,497
Title IV refunds	<u>0</u>
Total Title IV	<u>\$ 812,497</u>

Total Title IV funds of \$812,497/revenue of \$10,566,383 = 7.69%. This calculation is from revenue on a cash basis.

Appendix 11: Proposed Relay GSE Bay Area Budget

Relay Graduate School of Education								
Bay Area								
	Fiscal Year Ending June 30							
	2017	2018	2019	2020	2021	2022	2023	Total (7 Years)
Employees	1.8	3.6	5.3	6.3	6.3	7.3	8.3	
Enrollment	0	40	105	128	155	196	240	
Philanthropy	525,000	475,000	350,000	350,000	250,000	0	0	1,950,000
Tuition & Fees, including scholarship funds	0	360,000	945,000	1,152,000	1,395,000	1,764,000	2,160,000	7,776,000
Total Revenue	525,000	835,000	1,295,000	1,502,000	1,645,000	1,764,000	2,160,000	9,726,000
Salaries	170,000	343,800	469,872	567,624	590,329	707,530	824,647	3,673,802
Taxes & Benefits	37,400	75,636	103,372	124,877	129,872	155,657	181,422	808,236
Salaries & Benefits	207,400	419,436	573,244	692,501	720,201	863,187	1,006,069	4,482,038
Occupancy Expenses	6,000	12,000	12,360	12,731	13,113	13,506	13,911	83,621
Instructional Expenses	15,530	64,025	133,565	166,275	194,425	246,611	304,483	1,124,915
Administrative Expenses	32,933	14,500	21,000	14,063	12,500	12,688	16,500	124,183
Non-Cash Expenses	0	9,000	23,625	28,800	34,875	44,100	54,000	194,400
Total Direct Expenses	261,863	518,961	763,794	914,369	975,113	1,180,092	1,394,964	6,009,157
Student Shared Services	50,000	50,000	97,125	112,650	123,375	132,300	162,000	727,450
Design Shared Services	100,000	100,000	200,000	200,000	200,000	176,400	216,000	1,192,400
Institutional Shared Services	100,000	150,000	200,000	250,000	300,000	177,014	209,245	1,386,259
Subtotal: Shared Services	250,000	300,000	497,125	562,650	623,375	485,714	587,245	3,306,109
Total Expenses	511,863	818,961	1,260,919	1,477,019	1,598,488	1,665,806	1,982,209	9,315,266
Net Surplus / (Deficit)	13,137	16,039	34,081	24,981	46,512	98,194	177,791	410,734

Appendix 12: K-12 Partnership MOUs



Partnership Agreement
Relay Graduate School of Education and Rocketship Education

This Partnership Agreement is made by and among Rocketship Education ("Rocketship") and Relay Graduate School of Education ("Relay").

Per this agreement, Rocketship and Relay propose to work together on an educational program whereby Relay engages, enrolls and supports prospective and new teachers employed by Rocketship into the Relay academic program(s) offered in the Bay Area. Relay and Rocketship will work together to further outline roles and responsibilities of each party during the 2016-2017 planning year leading into the 2017-2018 launch year.

This agreement becomes effective on the date of signing and continues through June 30, 2019 ("Term"). This agreement applies to the incoming 2017-18 cohort of students. At least ninety (90) days prior to the expiration of the Term, the parties will work together in good faith to renegotiate the terms as necessary. Both parties agree to notify either of any change to the agreed upon terms, including failure to deliver on any of the included terms, with at least a thirty (30) day notice of said conflict. In preparation for the 2018-2019 academic year, Rocketship and Relay will begin discussing details about programming, including grade level and subject matter content to be offered, and enrollment targets by November 1, 2017.

SIGNATURES

Lynn Liao
Chief Program Officer, Rocketship Education

A handwritten signature in black ink, appearing to read "Lynn Liao", written over a horizontal line.

9/8/2016
Date

Tim Saintsing
Chief Operating Officer, Relay Graduate School of Education

A handwritten signature in black ink, appearing to read "Tim Saintsing", written over a horizontal line.

9/12/16
Date

Intent to Partner Agreement
Relay Graduate School of Education and Alpha Public Schools

This Intent to Partner Agreement is made by and among Alpha Public Schools ("Alpha") and Relay Graduate School of Education ("Relay").

Per this agreement, Alpha and Relay propose to work together on an educational program whereby Relay engages, enrolls and supports Alpha teachers into the Relay academic program(s) offered in the Bay Area during the duration of their academic program with Relay, will be employed with Alpha. Relay and Alpha will work together to further outline roles and responsibilities of each party during the 2016-2017 planning year leading into the 2017-2018 launch year.

This agreement becomes effective upon two conditions: 1) Relay obtain all necessary approvals from the CTC and 2) The signing of a more comprehensive MOU with a detailed Statement of Work by both organizations. This agreement applies to the incoming 2017-18 cohort of students. At least ninety (90) days prior to the expiration of the Term, the parties will work together in good faith to renegotiate the terms as necessary. Both parties agree to notify either of any change to the agreed upon terms, including failure to deliver on any of the included terms, with at least a thirty (30) day notice of said conflict. In preparation for the 2018-2019 academic year, Alpha and Relay will begin discussing details about programming, including grade level and subject matter content to be offered, and enrollment targets by November 1, 2017.

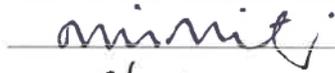
SIGNATURES

Shara Hegde
Chief Schools Officer, Alpha Public Schools



9/11/16
Date

Tim Saintsing
Chief Operating Officer, Relay Graduate School of Education



9/12/16
Date