

**U.S. Department of Education**  
**Washington, D.C. 20202-5335**



**APPLICATION FOR GRANTS**  
**UNDER THE**

**2012 84.282M Charter Schools Program Grants for Replication and Expansion**

**CFDA # 84.282M**

**PR/Award # U282M120031**

**Grants.gov Tracking#: GRANT11128199**

OMB No. , Expiration Date:

Closing Date: May 07, 2012

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This application was generated using the PDF functionality. The PDF functionality automatically numbers the pages in this application. Some pages/sections of this application may contain 2 sets of page numbers, one set created by the applicant and the other set created by e-Application's PDF functionality. Page numbers created by the e-Application PDF functionality will be preceded by the letter e (for example, e1, e2, e3, etc.).

**Application for Federal Assistance SF-424**

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
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* 3. Date Received: <input type="text" value="05/07/2012"/>	4. Applicant Identifier: <input type="text"/>
--	--

5a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: <input type="text" value="NA"/>
--	--

**State Use Only:**

6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>
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**8. APPLICANT INFORMATION:**

* a. Legal Name: <input type="text" value="Democracy Prep Public Schools"/>	
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="20-2628354"/>	* c. Organizational DUNS: <input type="text" value="8289616100000"/>

**d. Address:**

* Street1: <input type="text" value="207 W 133rd Street"/>
Street2: <input type="text"/>
* City: <input type="text" value="New York"/>
County/Parish: <input type="text"/>
* State: <input type="text" value="NY: New York"/>
Province: <input type="text"/>
* Country: <input type="text" value="USA: UNITED STATES"/>
* Zip / Postal Code: <input type="text" value="10030-3201"/>

**e. Organizational Unit:**

Department Name: <input type="text"/>	Division Name: <input type="text"/>
---------------------------------------	-------------------------------------

**f. Name and contact information of person to be contacted on matters involving this application:**

Prefix: <input type="text" value="Mr."/>	* First Name: <input type="text" value="William"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Packer"/>	
Suffix: <input type="text"/>	

Title: <input type="text" value="Special Assistant for Policy and Civics"/>
---

Organizational Affiliation: <input type="text" value="Employee"/>
---

* Telephone Number: <input type="text" value="9178863013"/>	Fax Number: <input type="text"/>
---	----------------------------------

* Email: <input type="text" value="wpacker@democracyprep.org"/>
---

**Application for Federal Assistance SF-424**

**\* 9. Type of Applicant 1: Select Applicant Type:**

M: Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**\* 10. Name of Federal Agency:**

U.S. Department of Education

**11. Catalog of Federal Domestic Assistance Number:**

84.282

CFDA Title:

Charter Schools

**\* 12. Funding Opportunity Number:**

ED-GRANTS-030612-001

\* Title:

Office of Innovation and Improvement (OII): Charter Schools Program (CSP); Grants for Replication and Expansion of High-Quality Charter Schools CFDA Number 84.282M

**13. Competition Identification Number:**

84-282M2012-1

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

Add Attachment

Delete Attachment

View Attachment

**\* 15. Descriptive Title of Applicant's Project:**

Building Democracy: Breaking the Leadership Barrier to Achieve Scale

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

**Application for Federal Assistance SF-424**

**16. Congressional Districts Of:**

\* a. Applicant

b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

**18. Estimated Funding (\$):**

* a. Federal	<input type="text" value="9,109,457.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="9,109,457.00"/>

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E.O. 12372.

**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes  No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

**21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix:  \* First Name:

Middle Name:

\* Last Name:

Suffix:

\* Title:

\* Telephone Number:  Fax Number:

\* Email:

\* Signature of Authorized Representative:  \* Date Signed:

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

<p>* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p>William Packer</p>	<p>* TITLE</p> <p>Founder &amp; Superintendent</p>
<p>* APPLICANT ORGANIZATION</p> <p>Democracy Prep Public Schools</p>	<p>* DATE SUBMITTED</p> <p>05/07/2012</p>

Standard Form 424B (Rev. 7-97) Back

# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

Approved by OMB  
0348-0046

<b>1. * Type of Federal Action:</b> <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. * Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. * Report Type:</b> <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
<b>4. Name and Address of Reporting Entity:</b> <input checked="" type="checkbox"/> Prime <input type="checkbox"/> SubAwardee * Name: Democracy Prep Public Schools * Street 1: 207 W 133rd Street    Street 2: _____ * City: New York    State: NY: New York    Zip: 10030-3201 Congressional District, if known: NY-15		
<b>5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:</b>		
<b>6. * Federal Department/Agency:</b> U.S. Department of Education	<b>7. * Federal Program Name/Description:</b> Charter Schools CFDA Number, if applicable: 84.282	
<b>8. Federal Action Number, if known:</b> _____	<b>9. Award Amount, if known:</b> \$ _____	
<b>10. a. Name and Address of Lobbying Registrant:</b> Prefix: Mr.    * First Name: Seth    Middle Name: _____ * Last Name: Andrew    Suffix: _____ * Street 1: 207 W 133rd Street    Street 2: _____ * City: New York    State: NY: New York    Zip: 10030-3201		
<b>b. Individual Performing Services</b> (including address if different from No. 10a) Prefix: Mr.    * First Name: Seth    Middle Name: _____ * Last Name: Andrew    Suffix: _____ * Street 1: _____    Street 2: _____ * City: _____    State: _____    Zip: _____		
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. * Signature: William Packer * Name: Prefix: Mr.    * First Name: Seth    Middle Name: _____ * Last Name: Andrew    Suffix: _____ Title: Founder & Superintendent    Telephone No.: 2129288887    Date: 05/07/2012		
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

PR/Award # U282M120031

**NOTICE TO ALL APPLICANTS**

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

**To Whom Does This Provision Apply?**

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

**What Does This Provision Require?**

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct

description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

**What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?**

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

**Estimated Burden Statement for GEPA Requirements**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0005**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537.

**Optional - You may attach 1 file to this page.**

GEPA provision document\_CSP.pdf

Add Attachment

Delete Attachment

View Attachment

## DEMOCRACY PREP PUBLIC SCHOOLS: ADDRESSING SECTION 427 OF THE GEPA PROVISION

**Title:** Addressing Section 427 of the GEPA Provision

**Applicant:** Democracy Prep Public Schools

**Program:** Charter Schools Program

In order to ensure equitable access to all students, teachers and other beneficiaries with special needs, for all projects receiving federal funds or otherwise, Democracy Prep Public Schools will take the following steps:

- 1) Democracy Prep does not discriminate against or limit the admission of any student on any unlawful basis, including on the basis of ethnicity, national origin, gender, disability, intellectual ability, measures of achievement or aptitude, athletic ability, race, creed, national origin, religion, or ancestry. Democracy Prep does not require any action by a student or family (such as an admissions test, interview, essay, attendance at an information session, etc.) in order to submit an application for admission. English language learners and students with special needs are especially encouraged to apply.
- 2) No staff member, board member, or associate member of DPPS will discriminate in any way against teachers, teacher candidates, other school employees or associates, students, parents, other family members or other beneficiaries because of race, national origin, color, gender, disability or age.
- 3) In order to extend all educational offerings to students and families with limited English proficiency, DPPS schools employ a comprehensive strategy for English Language Learners. ELL students will be held to the same academic standards as native English speaking students, which is essential for maintaining control of the achievement gap that widens so quickly and has become such a devastating feature of our educational landscape, especially for ELLs. For English language learners, DPPS will use a system of structured immersion. Students will be identified, served with a customized strategy, and then monitored closely using a series of assessment tools, including our general STEP diagnostic literacy assessments, and the ACCESS assessments, designed for ELLs.
- 4) DPPS has set and reached targets of hiring multicultural and multilingual staff members. Several staff members are fluent in Spanish, which is the dominant non-English language spoken in our community. Portuguese and Arabic are also spoken.
- 5) DPPS' staff recruitment procedures are designed to target high-quality personnel, and we encourage applications from candidates who are members of traditionally underrepresented groups.
- 6) DPPS' robust and extensive outreach efforts will ensure equitable access to opportunities for all individuals, regardless of gender, race, national origin, color, disability or age.
- 7) In order to extend all parent and family communication to those who are not English proficient, we translate all critical materials and family communications, including letters home, monthly newsletters, automated phone calls, emails, Town Hall meetings, parent meetings, other parent engagement activities.

## **DEMOCRACY PREP PUBLIC SCHOOLS: ADDRESSING SECTION 427 OF THE GEPA PROVISION**

8) In order to extend all educational offerings to students with special needs, we have developed a comprehensive strategy for students with disabilities. Students with disabilities will be served in the least restrictive environment, following all federal and state regulations including IDEA and Section 504, in order to best meet the individual needs of each student in our school community.

9) All classes offered at DPPS will be adapted for students with physical disabilities.

10) The CSP grant proposal requests funds to expand the two-teacher model currently used at Harlem Prep Charter School. The two-teacher model, with a Lead Teacher and a Teaching Resident, allows for flexibility in classroom design to serve the needs of all students. With this model, DPPS is capable of implementing a variety of teaching arrangements: small-group instruction, one-on-one tutoring, reading groups, and stations.

11) All DPPS facilities are fully ADA and NE-CHPS-compliant, so as to ensure that the premises are entirely accessible, safe, and create the best possible environment for working and learning for all students, employees, families, and other beneficiaries.

## CERTIFICATION REGARDING LOBBYING

### Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

<b>* APPLICANT'S ORGANIZATION</b> Democracy Prep Public Schools	
<b>* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE</b>	
Prefix: Mr.	* First Name: Seth Middle Name:
* Last Name: Andrew	Suffix:
* Title: Founder & Superintendent	
<b>* SIGNATURE:</b> William Packer	<b>* DATE:</b> 05/07/2012

Close Form

SUPPLEMENTAL INFORMATION  
REQUIRED FOR  
DEPARTMENT OF EDUCATION GRANTS

**1. Project Director:**

Prefix: \* First Name: Middle Name: \* Last Name: Suffix:

Mr. Seth Andrew

Address:

\* Street1: 207 W 133rd Street

Street2:

\* City: New York City

County:

\* State: NY: New York

\* Zip Code: 10030-3201

\* Country: USA: UNITED STATES

\* Phone Number (give area code) Fax Number (give area code)

2129288887

Email Address:

sandrew@democracyprep.org

**2. Applicant Experience:**

Novice Applicant  Yes  No  Not applicable to this program

**3. Human Subjects Research**

Are any research activities involving human subjects planned at any time during the proposed project Period?

Yes  No

Are ALL the research activities proposed designated to be exempt from the regulations?

Yes Provide Exemption(s) #:

No Provide Assurance #, if available:

**Please attach an explanation Narrative:**

Add Attachment Delete Attachment View Attachment

## Abstract

The abstract narrative must not exceed one page and should use language that will be understood by a range of audiences. For all projects, include the project title (if applicable), goals, expected outcomes and contributions for research, policy, practice, etc. Include population to be served, as appropriate. For research applications, also include the following:

- Theoretical and conceptual background of the study (i.e., prior research that this investigation builds upon and that provides a compelling rationale for this study)
- Research issues, hypotheses and questions being addressed
- Study design including a brief description of the sample including sample size, methods, principals dependent, independent, and control variables, and the approach to data analysis.

[Note: For a non-electronic submission, include the name and address of your organization and the name, phone number and e-mail address of the contact person for this project.]

---

## You may now Close the Form

**You have attached 1 file to this page, no more files may be added. To add a different file, you must first delete the existing file.**

\* Attachment:

## **Building Our Democracy – Breaking the Leadership Barrier to Achieve Scale**

### **Applicant**

Democracy Prep Public Schools  
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Democracy Prep Public Schools, founded in 2005, is a growing network of free, open-enrollment, high-performing no excuses public charter schools in Harlem committed to preparing students for success in college and active citizenship. Democracy Prep's DREAM Team of teachers and staff currently educates over 1,100 scholars in grades K-12 in four schools across New York City's Harlem neighborhood. A pioneer in authentic civic education and charter school turnaround, Democracy Prep achieves remarkable academic growth for all students, especially those with special needs. By proving that all students, regardless of where they are born or their initial academic performance, can achieve at extremely high academic levels, Democracy Prep seeks to transform not only the lives of our students, but also raise the expectations for public schools across the nation and beyond.

### **Project Description**

Democracy Prep respectfully requests \$9,109,457 over five years to expand two successful Democracy Prep schools in Harlem, further replicate the Democracy Prep school model in Harlem, and, replicate the model in educationally disadvantaged urban regions of New Jersey and, given appropriate conditions, one additional geographic region. In meeting the purpose of this competition, 15 new schools over five years will be replicated or expanded that, utilizing DPPS' high-quality and financially-sustainable core elements, will educate an additional 3,944 new students. In addition to funding the planning and initial implementation of these schools, Democracy Prep will utilize grant funds to overcome the greatest barrier to such accelerated growth, the lack of quality human capital to run schools, through the significant expansion of its *LEADER U* training program.

### **Project Goals**

Utilizing Grant funds DPPS will: (1) continue clustered growth in New York City to ensure that every child in Harlem has the choice of an excellent school and begin clustered growth in at least one new region, educating a total of 4,997 students over five years from low-performing communities for success in the college of their choice and a life of active citizenship, and (2) demonstrate that charter school networks can increase the accountability of charter schools nationally and be an integral part of comprehensive district reform.

### **Expected Outcomes**

#### *Goal #1*

- i) 3,944 new students attend schools that meet or exceed the academic performance of existing schools and meet academic benchmarks aligned with college readiness.
- ii) 3,944 new students attend schools that meet specific mission-advancement benchmarks.
- iii) 3,944 new students attend schools that are operationally sound and financially stable during and beyond the grant period.

#### *Goal #2*

- i) Charter schools replicated using the acquisition and turnaround strategy will meet high standards of academic, organizational, and financial excellence within three years.
- ii) The waitlist for DPPS schools in Harlem, NY will contain no more than 100 families from Community School District 5 within five years.
- iii) Commission the publication and dissemination of an external evaluation by the end of the grant period.

### **Contribution to Research, Policy, or Practice**

DPPS is committed to evaluating its impact and sharing the processes, practices, and strategies employed to achieve the goals set out in this application with the broader education community.

## Project Narrative File(s)

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\* **Mandatory Project Narrative File Filename:**

[Add Mandatory Project Narrative File](#)

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**I. APPLICATION PRIORITIES**

**Absolute Priority**

Democracy Prep Public Schools (DPPS) has extensive experience operating and managing high-quality charter schools. See Other Attachments Form for the names and addresses of schools, and Section D: Management Plan of the selection criteria for the experience of the management team.

**Competitive Preference Priority 1 – Low-Income Demographic**

DPPS’s schools educate an extremely low-income population. Each of DPPS’s schools educates a population where well over 60% of students aged 5 through 17 qualify for free or reduced price lunch (FRPL). Network-wide, 85% qualify for FRPL. See the Other Attachments Form for FRPL percentages for all schools.

### **Competitive Preference Priority 2 – School Improvement**

The replication and expansion proposed in this project is designed to assist Local Education Agencies (LEA) in implementing structural interventions to serve students attending schools identified for improvement, corrective action, closure, or restructuring under section 1116 of the Elementary and Secondary Education Act (ESEA), as amended. See Section C: Project Design of the selection criteria for more information.

### **Competitive Preference Priority 3 – Promoting Diversity**

DPPS promotes student diversity. Each DPPS school educates Black, Hispanic non-white, and Hispanic white students, and each serves small populations of other racial groups. See Other Attachments Form for specific enrollment totals in 2010 at all schools.

DPPS schools specifically target students with disabilities and English language learners in the application recruitment process to ensure DPPS serves them at a rate comparable to its surrounding districts. See subsection 4, Engaging the Special Needs Community, of Section B: Educationally Disadvantaged Students and Communities, beginning on page 15.

### **Competitive Preference Priority 4 – Technology**

The budget for this project contemplates purchasing instructional technology, such as smart boards, for replicated schools and professional development for teachers at those schools to improve their instruction. See the Budget form, ED 524, and Budget Narrative, for budgeted amounts.

### **Competitive Preference Priority 5 – Promoting STEM Education**

DPPS is committed to educating all students in all subjects, including science and mathematics. DPPS teaches a rigorous science and math curriculum, outlined in subsection 2, DPPS Curriculum Overview, of Selection Criteria Section B: Educationally Disadvantaged Students and Communities, beginning on page 9. DPPS has an outstanding track record driving math achievement (See Section A of Other Attachments Form).

### **Competitive Preference Priority 6 – Novice Applicant**

DPPS, the charter management organization (CMO), has never received a Replication and Expansion grant, has never been a member of a group application that received such a grant, and has not had an active discretionary grant from the Federal Government in the five years before the deadline.

**Invitational Priority – Students with Disabilities and English Learners**

As discussed previously, DPPS proposes to replicate and expand schools that serve students with disabilities and English learners at rates comparable to their districts. Additionally DPPS has a strong track record of driving student achievement for these students (See Section A of Other Attachments Form).

**II. APPLICATION REQUIREMENTS**

- (a) See Section C: Project Design, beginning on page 20.*
- (b) See Section D: Management Plan, beginning on page 37.*
- (c) See subsection 1, Organizational Relationships, of Section D: Management Plan, beginning on page 38.*
- (d) See subsection 1, Educational Model, of Section B: Educationally Disadvantaged Students and Communities, beginning on page 6.*
- (e) See subsection 1, Organizational Relationships, of Section D: Management plan, beginning on page 37.*
- (f) See subsection 3, Financial Sustainability, of Section D: Management Plan, beginning on page 50.*
- (g) See subsection 6 of Section B: Educationally Disadvantaged Students and Communities, beginning on page 19.*
- (h) This application does not request waivers.*
- (i) See subsection 3, Financial Sustainability, of Section D: Management Plan, beginning on page 50. See also the Budget Narrative attachment.*
- (j) See subsection 4(d), Engaging the Special Needs Community, of Section B: Educationally Disadvantaged Students and Communities, beginning on page 15.*
- (k) See subsection 4(e), Special Education Compliance, of Section B: Educationally Disadvantaged Students and Communities, beginning on page 16.*
- (l) DPPS and all of its schools have had no significant compliance issues. See Section D: Management Plan for DPPS's capacity to manage compliance issues.*
- (m) See the Other Attachments Form.*
- (n) See the Other Attachments form.*
- (o) See the Other Attachments Form.*

### **III. RESPONSES TO SELECTION CRITERIA**

#### **A. Democracy Prep Public Schools' Track Record of Driving Student Achievement**

New DPPS schools will build on the best practices of existing DPPS elementary, middle, and high schools within the network that have significantly increased academic achievement for all students, primarily those from economically disadvantaged households. In particular, DPPS schools have dramatically narrowed, and in some cases, reversed, achievement gaps that have historically affected the student populations described in section 1111(b)(2)(C)(v)(II) of the Elementary and Secondary Education Act of 1965, as amended (i.e. economically disadvantaged students, black and Latino students, students with disabilities, and students with limited English proficiency). The response to this selection criterion, located in Section A of the Other Attachments Form as permitted by application guidelines, presents data from state, nationally-normed, and value-added assessments; parent, student and teacher satisfaction surveys; and student attendance and retention rates. On each of these measures, DPPS schools vastly outperform their traditional district counterparts and close historic socioeconomic and racial achievement gaps. Moreover, two independent quasi-experimental research studies, Hoxby<sup>1</sup> and Fryer,<sup>2</sup> indicate that DPPS is outperforming even the best public charter schools in their regions and the most nationally acclaimed schools, including those run by KIPP and the Harlem Children's Zone.

#### **B. Educationally Disadvantaged Students and Communities**

With 85% of students qualifying for free or reduced price lunch and over 17% classified as special education students, 87% of DPPS students are educationally disadvantaged. Section 1 describes the design of the model that has led to these results, sections 2 and 3 overview curriculum and instruction at

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1 Caroline Hoxby et al, "How New York City's Charter Schools Affect Student Achievement."

September, 2009. Accessible: [http://www.nber.org/~schools/charterschoolseval/how\\_NYC\\_charter\\_schools\\_affect\\_achievement\\_sept200.pdf](http://www.nber.org/~schools/charterschoolseval/how_NYC_charter_schools_affect_achievement_sept200.pdf).

2 Harvard University Edlabs, "The Impact of the Democracy Prep Public Schools," February 2012.

DPPS, section 4 describes DPPS’s approach to special education, including DPPS’s compliance with relevant federal statutes, section 5 articulates the screening criteria for regional expansion of DPPS’s network, and section 6 explains how families and the community are involved in the implementation of DPPS schools.

## **1. The Democracy Prep Educational Model**

The intellectual foundation for DPPS’s educational plan comes from a decade of research and practice in urban education. High-performing, “no excuses” schools such as the original Democracy Prep Charter School, Frederick Douglass Academy, KIPP, Uncommon Schools, and Achievement First demonstrate that demographics do not determine destiny. Urban students do succeed on standardized tests and are prepared for college if provided with rigorous academics, discipline, enrichment, and support.

The DPPS model follows a “no excuses” philosophy with five core elements: (a) more time for learning, (b) academic rigor, (c) sophisticated use of data, (d) a respectful school culture, and (e) remarkable talent. DPPS adds to this model (f) civic engagement and (g) a commitment to educating all students in all subjects.

### ***a) More Time to Learn***

DPPS students will attend school Monday through Thursday from 7:45 a.m. to at least 4:15 p.m., until at least 1:00 pm on Fridays, and for up to three Saturdays per month. The school year is a minimum of 190 days, and students in need of additional individual support or required remediation attend school on additional Saturdays and during some vacations. Students who have not yet mastered the grade’s content expectations attend a mandatory Summer Academy for a total of up to 33 additional “Opportunity Days” (weekend or holiday days) throughout the year. There is no wasted time in classrooms, hallways, or assemblies because teachers make every minute count and use routines and common expectations to minimize disruptions. Should a scholar attend DPPS from kindergarten through

graduation, he or she would receive over a decade more educational time than do students in the average traditional public school.

***b) Rigorous Academics***

DPPS college-prep academic program provides dramatically more time, allowing for two hours of math, three hours of literacy, one hour of science, and one hour of social studies every day as well as required art, theater, music, health, and fitness courses. This academic rigor requires all scholars to receive a full year of high school algebra, science, English, and social studies in eighth grade. In our high schools, college preparatory programs in Korean language, literature, math, world history, U.S. history, biology, chemistry, and physics courses are offered to all students. In addition, high school scholars will all participate in the Advanced Placement (AP) programs and are required to pass no fewer than two AP exams with a 3 or higher prior to graduation.

***c) Sophisticated Use of Data***

DPPS is committed to a sophisticated use of academic and behavioral data. Frequent evaluations will ensure that teachers and families know every week exactly where each student stands in relation to DPPS’s rigorous standards and what each student needs to do to make progress, ensuring that group instruction, lesson planning, and student support are available in real time for teachers and families. DPPS schools will utilize a sophisticated feedback loop of frequent data including a network-wide dashboard tool, interim assessments, and comparative academic measures.

***d) Respectful and Joyous School Culture and Disciplined Environment***

DPPS’s school culture and behavioral framework are based on Discipline, Respect, Enthusiasm, Accountability, and Maturity—collectively, the “DREAM” values. Students earn or forfeit “DREAM Dollars” based on their adherence to these values, and these DREAM Dollars may be linked to college scholarship accounts and used by students to earn privileges and benefits such as end of trimester trips and end of year adventures including Civic and College Expeditions.

DPPS adheres to a ‘broken windows’ approach to school discipline. DPPS focuses relentlessly on identifying small infractions and imposing appropriate consequences in order to ensure that more significant negative behaviors are unlikely to occur. School behavior is taught clearly and explicitly. As our students come from numerous schools and backgrounds, all entering students attend Preparation Academy, a weeklong orientation session during which they learn the rituals, and routines of DPPS.

***e) Exemplary Teaching***

DPPS is committed to attracting, developing, and retaining exceptional adults to work in and for our schools. DPPS staff members undergo extensive performance reviews, receive weekly professional development during the school year and four weeks of intensive professional development in the summer, and are guided by explicit career ladders and opportunities for growth.

DPPS has an extremely selective staff application process. At DPPS schools, fewer than the top 1% of applicants is hired. Teachers are paid a base salary that dramatically exceeds the New York City Department of Education scale, and they are eligible for base salary raises of up to 10% each year based on their students’ growth and performance. Additionally, DPPS incentivizes alternative certification by subsidizing participation in programs such as the Relay Graduate School of Education, Math For America, and Teach For America. Top performing teachers can earn up to \$140,000 after just eight years at DPPS. Additionally, teachers are enrolled in a comprehensive benefits plan that is competitive and designed to encourage excellence and longevity.

These factors combine to ensure that all children, especially those with special needs, are put on a path to college graduation within a safe, structured, and supportive environment. DPPS’s academic program refines the “no excuses” model to include two unique elements not found in most other high-performing charter schools, specifically:

***f) Civic Leadership and Engagement***

Unique among its peers, DPPS places an explicit focus on preparing scholars to become civic leaders in their community. DPPS believes that public schools have a primary responsibility both to educate

students for college and to improve the democratic infrastructure of our community. DPPS’s goal is to ensure that all graduates are able to participate and take leadership roles in civic institutions. Through required service learning, summer experiences, internships, debate, and other civic activities during in- and out-of-school time, our students will apply the knowledge, skills, and character they have developed in the academic program to help change the world

***g) Educating All Students, in All Subjects, in All Grades***

DPPS actively recruits students who are least well-served by traditional public schools as well as other high-performing charter operators, including English learners and special education students. DPPS special education students and English learners are provided the same transformational education and support as are all other students. Founder Seth Andrew, who attended NYC public schools with a learning disability and taught special education prior to founding DPPS, is a nationally recognized advocate for inclusive special education. In addition, like a traditional public school and unlike many charters, DPPS welcomes new scholars at all grade levels at the beginning of each year. This practice ensures that a constant stream of students previously left behind by low expectations may embark on the path to college and civic success whenever there is an available seat at DPPS.

**2. DPPS Curriculum Overview**

DPPS’s “hard work” philosophy drives the design of its curriculum, which is aligned to the 28 New York State Learning Standards<sup>3</sup> and is based on its mission of having all students achieve college-preparatory academic success and informed civic involvement. The curriculum is divided into three sections: (1) Core Courses, (2) Co-Curricular Courses, and (3) Enrichment Courses.

(1) Core Courses:

*Guided Reading, English Literature & Readers Workshop*

*(8-10 hrs per week)*

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<sup>3</sup> Curriculum specialists at DPPS are currently working to revise the curriculum to be aligned to Common Core Standards.

*Building Democracy: Breaking the Leadership Barrier to Achieve Scale*

DPPS, 2012

Students develop and master literacy skills including phonemic awareness, decoding, fluency, oral reading, comprehension and vocabulary. Students take part in thoughtful literary analysis of short stories, poems, and novels expressed through class discussions, standardized tests, and essays.

*Guided Writing, Grammar, & Writers Workshop*

(4 hrs per week)

Students develop and master writing and editing skills including proper spelling, syntax, grammar, punctuation, and style. Students will write prose, poetry, fiction, and non-fiction of varied length.

*Mathematical Skills*

(4.5 hrs per week)

Students develop and master numeracy in the core operations, fractions, decimals, and positive/negative numbers leading to algebra for all eighth grade students using a curriculum based on *Saxon Math* and original DPPS teacher-created curricula.

*Mathematical Problem Solving*

(4.5 hrs per week)

Students apply mathematical skills in problem solving exercises, investigations, complex word problems, and mathematical experiments.

*Geography, Non-Fiction Studies & US History*

(4.5 hrs per week)

Students develop and master the ability to critically examine social and historical problems. Students focus on world and American societies using the lenses of culture and time. Civic and economic simulations and study skills such as note taking, organization, and outlining are incorporated throughout the course using texts such as *History of Us*, *History Alive!*, and *We The People*.

*Science*

(4.5 hrs per week)

Students will develop and master scientific knowledge and skills through the study of multiple scientific fields (earth, physical, environmental, biological, and social), apply the scientific method, conduct experiments of their own design, and present their findings professionally.

(2) Co-Curricular Courses (5 hours per week)

One co-curricular course, such as theater, fine art, dance, music, and physical education (mandatory for at least one trimester) is required each trimester for about 5 hours a week.

**(3) Enrichment Courses (2.5 hours per week)**

Courses such as public speaking, African drumming, Banking, Investing, and Entrepreneurship, chess team, homework club, and step dancing are available to students who display appropriate behavior.

**3. Instruction at Democracy Prep**

One of the most frustrating experiences for a teacher is to work hard to establish norms in a classroom only to have them undermined in a room down the hall. At DPPS, there are consistent instructional practices in every classroom. While there is no one correct way to teach content, students must have consistent routines, blackboard configuration, grading practices, and behavioral expectations in every class. To illustrate, DPPS students enter classrooms by lining up outside the room silently and receiving a firm handshake from the teacher. Then, students begin a silent “Do Now” assignment at their desks. After five minutes, students greet their teacher, complete a Do Now review, chant, song, or other warm-up activity designed by teachers. Following the Do Now, students look at the common board configuration,<sup>4</sup> review the lesson’s aim, agenda, homework, and begin a period of direct instruction of new material before breaking into teacher-designed activities in groups, pairs, or as individual practice. Each class ends with a review of the aim and an “Exit Ticket” that emphasizes comprehension of the class’s specific and measurable aims with at least four questions that evaluate the student mastery.

**4. Approach to Special Education**

DPPS will implement an inclusive, heterogeneous educational model that serves all students in a manner that maximizes their academic potential and prepares all of them for success in the college of their choice and active citizenship. Its approach and design emulate high-performing urban schools serving similar students with disabilities, language proficiency barriers, and/or special circumstances that put them at risk for academic failure.

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<sup>4</sup> This blackboard configuration is inspired by Dr. Lorraine Monroe and her work in schools such as Frederick Douglass Academy.

The guiding philosophy at DPPS is to minimize the impact of a student's disability while maximizing his or her access to support services and the college-preparatory general curriculum. DPPS embraces the approach of Dr. Thomas Hehir with respect to "Universal Design" and "Eliminating Ableism in Education."<sup>5</sup> Dr. Hehir is an advisor to DPPS, director of the School Leadership Program at the Harvard Graduate School of Education, and a former special education teacher and administrator and director of the Office of Special Education Programs (OSEP) at the Department of Education. DPPS believes that students with disabilities fall along a wide continuum of difference in learning ability, and are not a discrete category when it comes to instructional methodology. This means that adjustments occur for all students, not just those with disabilities.

***a) Systems to Ensure that All Students Meet Academic Performance Standards***

DPPS anticipate that about 20-25% of its students will have Individualized Education Plans (IEPs), 5-15% of its students will be classified English learners, and that students will be, on average, two grade levels behind when they enter DPPS.<sup>6</sup> Therefore, the entire school incorporates supports for students struggling academically, not just those with disabilities. The educational program at DPPS will avoid remediation "pull-out" from core courses whenever possible, limiting its use to connections courses and extracurricular activities from 3:00-5:15 p.m. each day. DPPS will use a curriculum that meets each student where he or she is and, using extra time and supports, accelerate students academically to master learning standards at a faster rate than in traditional schools.

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<sup>5</sup> Hehir, Thomas. "Eliminating Ableism in Education" Harvard Educational Review. Volume 72.

Number 1 Spring 2002. Ableism refers to discrimination based on disability.

<sup>6</sup> This assumption is based on the averages for Community School District 5 and will serve as a baseline.

DPPS's intent is to serve at least the same or greater numbers of ELL and special education students as the district as a whole, and DPPS's outreach will reflect this goal.

In order to ensure that all students meet academic performance goals as outlined in their IEPs, DPPS makes a clear distinction between modifications to curricular content and accommodations available to students that do not lower academic expectations. DPPS will seek to *modify* curriculum as *infrequently* as possible, yet it will provide *accommodations* as *frequently* as necessary to help students progress as guided by students' IEPs and their individual needs.<sup>7</sup>

***b) Universal Design***

DPPS believes that a universally designed curriculum is the most efficient and effective way to provide access for a broad range of diverse student disabilities and needs.<sup>8</sup> This approach guides the full inclusion of students with disabilities, from the facilities, to the differentiated curriculum, to the routines and rituals of daily life. This approach is proven to help students with disabilities and their non-disabled peers to achieve greater academic success.<sup>9</sup> Specifically, this approach will include a design of materials and activities that are attainable by individuals with wide differences in their abilities to see, hear, speak, move, read, write, understand, organize, engage, and remember. DPPS will implement three universal design principles for learning formulated by the Center for Applied Special Technology:<sup>10</sup>

1. The curriculum provides multiple means of representation. Subject matter can be presented in alternate modes for students who learn best from visual or auditory information, or for those who need differing levels of complexity.

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<sup>7</sup> Hehir, Tom. "Implementing Inclusive Education." Harvard Graduate School of Education. Spring 2002.

<sup>8</sup> Orkwis, Raymond. "Curriculum Access and Universal Design for Learning." ERIC Clearinghouse on Disabilities and Gifted Education. ERIC/OSEP Digest #E586. The Council for Exceptional Children. December 1999.

<sup>9</sup> Hehir, Tom. *Seminar with Building Excellent Schools Fellows*. 9/28/04. Boston, Massachusetts.

<sup>10</sup> Center for Applied Special Technology, <http://www.cast.org/udl/>.

2. The curriculum provides multiple means of expression to allow students to respond with their preferred means of control. This accommodates the differing cognitive strategies and motor-system controls of students.
3. The curriculum provides multiple means of engagement. Students' interests in learning are matched with the mode of presentation and their preferred means of expression. Students are more motivated when they are engaged with what they are learning.

***c) The Academic Collaboration Team***

In order to provide all IEP and Section 504 (Rehabilitation Act) services, DPPS has designed a model that is flexible and fully compliant with applicable laws. DPPS teaching staff is supported by an Academic Collaboration Team—teachers who support students at academic risk, including but not limited to special education students and English learners. ACT Team Members may be assigned to specific grades, to subject areas, or to a particular caseload of students based on what will be the most educationally effective model for the needs of students, including those with IEPs, in any given year. ACT Team Members will be responsible for implementing classroom-based IEP services, integrated co-teaching services, SETSS services, and ensuring access to the general curriculum for all students on IEPs through differentiation, accommodations, and necessary modifications.<sup>11</sup> The co-taught classes will be led by at least one general education teacher and an ACT Team Member. The approaches to co-teaching that will be employed at DPPS schools will include but are not limited to:

- Direct Co-teaching – Both teachers lead the class in direct instruction, seamlessly switching from one teacher to another at different points during the lesson.
- Parallel teaching (Unmodified curriculum) – The class will be divided into two groups. Each teacher instructs her group in the same lesson at the same time.

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<sup>11</sup> Whenever possible, DPPS schools will seek to hire excellent teachers who hold dual certification in a subject as well as in special education.

- Parallel teaching (Modified curriculum) – The class will be divided into two groups. Each teacher will instruct her group in material specifically designed for it. Direct instruction will occur simultaneously. This methodology will be used based on the demonstrated academic needs of students with IEPs. The modified curriculum will seek only to differentiate the presentation of instructional material; it will not modify the standards being presented, and students will still be evaluated by the same academic benchmarks.
- Rotational teaching (Alternative teaching) – Both teachers will co-plan a set of lessons. One teacher will lead direct instruction for the unit of lessons while the other teacher supports students who are in need of support, focusing on students with IEP's.

The models listed above may be used interchangeably throughout the year based on the academic, social, and behavioral needs of the integrated co-taught classes. ACT Team Members will meet regularly with general education teachers to review instructional materials, plan the presentation of content, and ensure lessons contain accommodations that make the lessons accessible to students with IEPs.

***d) Engaging the Special Needs Community***

DPPS is committed to explicit and intentional recruitment of special education and hard to reach students. In the extensive publicity surrounding its yearly admissions lotteries, DPPS highlights its special education services. DPCS's 2010 Lottery Celebration was covered by several news channels including CNN, on which DPPS emphasized its commitment to serving special education students. As a result of this strategy, DPCS has served a disproportionately high number of special education students every year since its opening.<sup>12</sup> DPPS will continue to aggressively publicize its lotteries and school openings and reach out to the special education community through activities such as informing local

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<sup>12</sup> NYS Education Department, "NYS District Report Card: Accountability and Overview Report 2008-2009."

guidance counselors and special education teachers of DPPS's success with special education students. In fact, at least 5% of all DPCS scholars are registered in the NYC homeless system, the highest concentration in any charter in NYC, demonstrating that DPPS is succeeding in reaching disconnected and underserved populations.<sup>13</sup>

***e) Special Education Compliance***

DPPS makes the following representations:

- DPPS schools will adhere to all provisions of federal law relating to students with disabilities, including the IDEA, section 504 of the Rehabilitation Act of 1973, and Title II of the Americans with Disabilities Act of 1990, that are applicable to them.
- DPPS schools will, consistent with applicable law, work with LEA school districts to ensure that all students with disabilities that qualify under the IDEA. This includes FAPE, appropriate evaluations, an IEP, LRE, participation in decisions regarding the IEP, and appropriate procedures to resolve disputes.
- DPPS schools will make available, as required by law, a student's general education teachers and ACT Team Members (and other required school personnel) for meetings convened by official bodies charged with special education compliance.
- DPPS schools will ensure that parents of children with special needs are informed of how their children are progressing on annual IEP goals and in the general curriculum at least as frequently as are parents of regular education children.
- DPPS schools will abide by the applicable provisions of IDEA and the Family Educational Rights Privacy Act of 1974 as they relate to students with disabilities, including, but not limited to, having procedures for maintaining student files in a secure and locked location with limited access.

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<sup>13</sup> As reported by NYC-DOE's ARIS system.

- DPPS schools' ACT Team Members will retain such data and prepare such reports as are needed by each disabled child's school district of residence or the State Education Department in order to permit such entities to comply with federal law and regulations.
- DPPS schools will comply with their obligations under the Child Find requirements of IDEA, including 34 CFR § 300.125, and will provide appropriate notification to parents in connection therewith, including notifying them prior to providing a child's name for potential evaluation.

## **5. Regional Expansion**

This project calls for concentrated growth in Harlem and has the support of its local authorizer to assist in siting DPPS schools in public school buildings at no cost wherever possible. Over the course of this project, DPPS believes that parity of supply of seats and parent demand in Harlem will be reached. For this reason, DPPS seeks to begin concentrated growth in a new educationally disadvantaged region in the fall of 2012. Several factors determine whether DPPS decides to expand to create a second cluster of high-performing schools, but chief among them is the education environment of the new region. Using the below criteria, DPPS has selected Camden, New Jersey as its first expansion region.

The following screening criteria describe the prerequisites and desirable factors DPPS uses to assess whether investment in a new regional concentration of schools will best advance the DPPS mission:

- *Demonstrated Need.* DPPS exists to expand educational opportunities for underserved students. All campuses should have a student population of no less than two-thirds of students eligible for free or reduced priced lunch.
- *Strong Per-pupil Funding.* Per-pupil public revenue must be sufficient to cover teacher salaries, direct educational expenses, home office CMO fees, and general operating expenses for each school in a given geography. Median funding in the nation is currently \$10,743, which serves as a minimum in the DPPS screening criteria. Facilities and capital expenses, leadership training, and transportation are explicitly omitted from these public operating funds.

- *Access to Quality Human Capital.* The pipeline of available talent for teachers, school leaders, and non-instructional staff determines the success of schools. In any region, human capital is the most significant bottleneck to growth, and the supply must be sufficient, considering all potential competitors, certification barriers, and pipeline programs.
- *Proximity to New York City.* DPPS is cognizant that coordinating clusters geographically too far apart will lead to rising costs and other potential difficulties at the network level. For this reason, DPPS is chiefly concerned with high-need regions in the mid-Atlantic and northeast United States. However, if a region outside these areas were to receive high enough scores on other criteria, it would be considered.
- *Unique Market Niche and Acquisition Opportunities.* DPPS focuses expansion on markets where it will differ from its competitors, thus minimizing head-to-head competition for talent against other similar high performing, “no excuses” charter schools. Differentiation can occur along grade level, mission, geography, or population served and is essential to ensure a constant flow of human capital and support. Regions offering charter school restructuring or turnaround opportunities, such as the model used by SUNY with Harlem Prep, will be strongly considered.
- *Comprehensive Political and Community Support.* There must be local community, civic, and government support for high-performing charters and the DPPS model and approach for at least a three-year time horizon.
- *Free or Low-cost Facilities.* The costs of purchasing or building facilities in its target communities are prohibitively high given DPPS’s growth model. The costs of securing and providing suitable and affordable school facilities must be borne by local governments or partner organizations, just as they are for traditional public schools.

DPPS has determined that New Jersey will be DPPS’s second concentrated growth region. DPPS is in the process of acquiring a failing middle school in Camden, New Jersey. DPPS expects to continue to build schools in Camden, where 78% of students qualify for free and reduced price lunch and 57%

graduated from high school in 2011,<sup>14</sup> and elsewhere in New Jersey, such as in Newark, where 87% of students qualify for free and reduced price lunch and 61.3% graduated from high school in 2011, over the next five years. New Jersey has strong per pupil funding, at \$16,500, a willingness to pursue the acquisition model, and a strong political will for education reform in the offices of Governor Christie, Acting Commissioner Cerf, and Mayor Booker.

Should the climate in DPPS's current regions of New York and New Jersey change, or should special opportunities arise elsewhere, DPPS does not rule out expanding to additional regions that meet screening criteria over the course of the project. Other regions under consideration are Washington D.C., New Orleans, Louisiana's Recovery School District, and Tennessee's Achievement School District. Letters indicating the support of key officials in these educationally disadvantaged regions are included in the Other Attachments form.

## **6. Engaging Families and the School Community**

Parents, families, and other members of the community will be involved in the planning, program design, and implementation of new DPPS schools. DPPS will engage families in planning future schools through methods such as focus groups to discuss program design of new schools, and will use parental testimony at public hearings and public lottery events both to encourage new families to enroll and to learn of any concerns. In addition, parents will continue to play an integral role in implementing new schools, as they do with DPPS's currently operating schools. Families participate with their children in sessions during the enrollment process where the policies and expectations of DPPS schools are explained, including the requirement that families pick up their children's report cards in person at school and meet with their children's teachers at least three times each year.

When each new DPPS school is formed, DPPS will form a Family Leadership Council that will engage DPPS families in the essential conversations about the health and well-being of their children's

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<sup>14</sup> New Jersey Department of Education Statistics. Accessible: <http://www.state.nj.us>

school. Finally, teachers and leaders are available to parents every school day by phone and email until 9 p.m. about any issue of importance. With consistently high levels of parent, family, and teacher satisfaction in New York (See Section A of Other Attachments Form), DPPS is confident that it will continue its record of excellence in the area of family and community engagement.

**C. The Project: Building Democracy: Breaking the Leadership Barrier to Achieve Scale**

As illustrated by Figure 1, DPPS has set two bold specific, attainable, and measurable goals, outlined executable objectives, and identified measurable outcomes by which progress to goal completion can be evaluated.

Figure 1: Project Logic Table

Goals	Objectives	Outcomes
<p>1. Continue clustered growth in New York City to ensure that every child in Harlem has the choice of an excellent school and begin clustered growth in at least one new region, educating a total of 4,997 students over five years from low-performing communities for success in the college of their choice and a life of active citizenship.</p>	<p>a) Expand the enrollment of two existing schools by 321 additional students in the Harlem neighborhood of New York City.                      b) Replicate DPPS’s school model at 13 new schools in New York City, NY, districts in New Jersey, and potentially another region, using two replication strategies.                      c) Ramp up development of DPPS’s internal leadership pipeline, <i>LEADER U</i>, to provide essential human capital for these schools by training four <i>LEADER U</i> candidates per year for the next five years.</p>	<p>i) 3,944 new students attend schools that meet or exceed the academic performance of existing schools and meet academic benchmarks aligned with college readiness.*                      ii) 3,944 new students attend schools that meet specific mission-advancement benchmarks.*                      iii) 3,944 new students attend schools that are operationally sound and financially stable during and beyond the grant period.                      *Turnaround schools will be expected to achieve these outcomes only after three years.</p>
<p>2. Demonstrate that charter school networks can increase the accountability of charter schools nationally and be an integral part of comprehensive district reform.</p>	<p>a) Employ a charter acquisition and turnaround replication strategy in at least 5 schools over the next five years.                      b) Expand and replicate schools</p>	<p>i) Charter acquisition and turnaround schools will meet high standards of academic, organizational, and financial excellence within three years.                      ii) The waitlist for DPPS schools</p>

	to serve 2,682 students in Harlem, reaching parity between parent supply and demand in an entire city school district.	in Harlem, NY, will contain no more than 100 families from Community School District 5 within five years. iii) Commission the publication and dissemination of an external evaluation by the end of the grant period.
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This section considers each goal and its objectives and then examines the expected outcomes for each.

**1. GOAL #1: Continue clustered growth in Harlem and begin elsewhere.**

Figure 2: DPPS Growth Schedule: School and Enrollment Growth, 2012-17

School Name	Growth Type	Project Year 0 2011-12			Project Year 1 2012-13			Project Year 2 2013-14			Project Year 3 2014-15			Project Year 4 2015-16			Project Year 5 2016-17			PROJECT PERIOD 2012-2017
		T Minus Opening	Grades	Enroll.																
Democracy Prep Charter Middle	No growth	5	6-8	324	6	6-8	324	7	6-8	324	8	6-8	324	9	6-8	324	10	6-8	324	0
Democracy Prep Charter High	Expansion	2	9-11	243	3	9-12	351	4	9-12	402	5	9-12	402	6	9-12	402	7	9-12	402	159
Democracy Prep Harlem Middle	No growth	1	6-7	216	2	6-8	324	3	6-8	324	4	6-8	324	5	6-8	324	6	6-8	324	108*
Harlem Prep Elementary	Expansion	0	K-5	270	1	K-5	324	2	K-5	351	3	K-5	378	4	K-5	405	5	K-5	432	162
Democracy Prep Endurance Middle	Replication, Demand	-1	--	0	0	6	108	1	6-7	216	2	6-8	324	3	6-8	324	4	6-8	324	324
Harlem Prep Middle	Replication, Demand	-1	--	0	0	6	108	1	6-7	216	2	6-8	324	3	6-8	324	4	6-8	324	324
NJ Charter Turnaround #1	Replication, Acquisition	-1	--	0	0	4-8	300	1	4-8	300	2	4-8	300	3	4-8	300	4	4-8	300	300
NYC Charter Turnaround #1	Replication, Acquisition	-2	--	0	-1	--	0	0	K-4	270	1	K-4	270	2	K-4	270	3	K-4	270	270
Democracy Prep Charter Elementary	Replication, Demand	-2	--	0	-1	--	0	0	K-1	162	1	K-2	243	2	K-3	324	3	K-4	405	405
Democracy Prep Harlem High	Replication, Demand	-3	--	0	-2	--	0	-1	--	0	0	9	108	1	9-10	216	2	9-11	314	314
NJ Charter Turnaround #2	Replication, Acquisition	-3	--	0	-2	--	0	-1	--	0	0	5-8	240	1	5-8	240	2	5-8	240	240
Democracy Prep NJ High	Replication, Demand	-3	--	0	-2	--	0	-1	--	0	0	9	108	1	9-10	216	2	9-11	314	314
Harlem Prep High	Replication, Demand	-4	--	0	-3	--	0	-2	--	0	-1	--	0	0	9	108	1	9-10	208	208
NYC Charter Turnaround #2	Replication, Acquisition	-4	--	0	-3	--	0	-2	--	0	-1	--	0	0	5-8	300	1	5-8	300	300
New Region Turnaround	Replication, Acquisition	-5	--	0	-4	--	0	-3	--	0	-2	--	0	-1	--	0	0	5-8	300	300
Democracy Prep Harlem Elementary	Replication, Demand	-5	--	0	-4	--	0	-3	--	0	-2	--	0	-1	--	0	0	K-1	108	108
Democracy Prep NJ Elementary	Replication, Demand	-5	--	0	-4	--	0	-3	--	0	-2	--	0	-1	--	0	0	K-1	108	108
<b>TOTALS</b>	<b>Growth Type</b>	<b>Project Year 0 2011-12</b>			<b>Project Year 1 2012-13</b>			<b>Project Year 2 2013-14</b>			<b>Project Year 3 2014-15</b>			<b>Project Year 4 2015-16</b>			<b>Project Year 5 2016-17</b>			<b>PROJECT PERIOD 2012-2017</b>
# SCHOOLS OVERALL	TOTAL	4			7			9			12			14			17			17
# SCHOOLS BUILT*	TOTAL	1			5			2			3			2			3			15
# STUDENTS ENROLLED	TOTAL	1053			1839			2565			3345			4077			4997			4997
# NEW STUDENTS	TOTAL				786			726			780			732			920			3944

Figure 2 shows the likely replication and expansion schedule for DPPS starting from the current year and extending five years into the future, in accordance with the length of the project, that DPPS believes will lead to accomplishing this goal. It shows, for all current and proposed schools, student enrollment, whether a school is to be expanded or replicated, and the year it will open. Over the five-year grant period, subject to the development of a pipeline of quality instructional leaders through *LEADER U*, DPPS will grow to operate 17 schools and educate 4,997 students in three regions.

***a) Objective: Expand the enrollment of two existing schools by 321 additional students in the Harlem neighborhood of New York City.***

In project year 1, DPPS will begin expansion of two of its established and successful schools, Democracy Prep Charter High School (DPCH), and Harlem Prep Elementary School (HPE). The growth schedule shows that together the expansion part of the project’s portfolio represents 321 of 3,944 new students. See Section A of Other Attachments Form for the academic results of DPCH and HPE.

***b) Objective: Replicate DPPS’s school model at 13 new schools in New York City, NY, Camden, NJ, and potentially another region using two replication strategies.***

Most of DPPS’s growth over the next five years will come via replication. DPPS will replicate its successful model 13 times over the next five years using two distinct strategies: *parent demand* and *acquisition and turnaround*. Each of these strategies is designed to assist districts in implementing structural interventions to serve students attending schools identified for improvement, corrective action, closure, or restructuring under section 1116 of the ESEA.

(1) The Parent Demand Replication Strategy

This strategy is a variation on the fresh-start model in which a charter school begins with one or two grade levels and expands by one grade a year until it reaches full growth. This strategy is distinguished by its explicit aim of turning around failing schools by leveraging parent demand. Essentially, the idea is that once DPPS presents a better school alternative in close proximity to a failing school, parents who previously sent their children to the failing school will “vote with their feet” by rerouting their children

to DPPS. This will result in declining enrollment at the failing school as the DPPS school grows, and, ultimately, closure of the failed school. This strategy can manifest in two scenarios: ideal and typical.

In an ideal scenario, DPPS secures the approval of charter authorizers and education departments to give preference in the lottery to students at a failing school because that school is already slated for phase out. As parents at the failing school become aware of the better option, they apply and are automatically granted admission to the DPPS school. This enables the education department to rapidly phase out the failed school, grade-by-grade, as the DPPS school reaches full growth.

In the typical scenario, the school is identified as failing but not yet relegated for phase out, and DPPS is unable to secure approval for a lottery preference for students attending that school. In this case, DPPS will still open the school nearby and aggressively advertise its track record of success to parents at the failed school. Because DPPS offers an in-district preference in its schools, students who live in district will still have favorable odds of admission. As parents become convinced of the quality of the alternative to their school, they will increasingly apply. Though not all students will be offered admission, enrollment at the failed school will decline over time, eventually allowing the education department to phase out the school.<sup>15</sup> This strategy played out successfully in the case of two co-located schools that opened simultaneously in 2006: the Academy for Collaborative Education (ACE), the lowest-performing middle school in Harlem,<sup>16</sup> and Democracy Prep Charter Middle (DPCM), ranked in 2010 as the best public middle school in New York City. While the New York City Department of Education declined to grant DPPS's request for a lottery preference for students attending ACE, parents, who saw better options in DPCM and other charter schools in the district, gradually chose to vote with

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<sup>15</sup> In the event that a failing school is significantly larger than a DPPS school, DPPS may open a second school in the area to better meet parent demand.

<sup>16</sup> 2010 NYC Chancellor's Progress Report Results. Accessible:

<http://schools.nyc.gov/Accountability/tools/survey/default.htm>.

their feet, which led to declining enrollment. As test scores at ACE remained low and enrollment declined, the city, in 2009, placed ACE on the closure list. Closure was postponed for two years due to litigation initiated by the United Federation of Teachers to keep the failing school open, and, over that two-year period, enrollment continued to decline as parents sought alternatives for their children. In 2011, the school was permanently closed, and now Democracy Prep Charter High (DPCH), the high school many students who once attended ACE now attend, utilizes ACE's former classrooms.

The parent demand strategy is more appealing than closure strategies that have provoked backlash in communities across the country. Typically, fierce opposition is provoked when schools are "forced" to close or families are "forced" to transfer by bureaucratic mandate. The DPPS strategy is predicated on giving DPPS time to build its communities' trust and giving the community time to ask questions and adjust to its presence. The fact that parents are, in essence, choosing to turn around their own school through attrition and competition maximizes community buy-in and minimizes opposition.

To pursue this strategy, DPPS will work with school districts, authorizers, and local partners in its operating regions to identify schools for phase-out, and will phase-in between one and two schools in close proximity each year through 2017. To maximize the likelihood of the ideal scenario transpiring, DPPS will work closely with authorizers and stakeholders to give priority in its admissions lotteries to students attempting to enroll who attend low-performing schools, in order to provide meaningful transfer options for students most in need. This portion of the project plan represents 8 of the 15 schools DPPS will replicate or expand and 2,105 of the 3,944 (53 percent) of the new students enrolled in the DPPS network over the project period.

## (2) The Acquisition and Turnaround Replication Strategy

This strategy offers a truly innovative approach to charter school replication that will accelerate DPPS's impact on student achievement and push the charter sector and education departments to hold failing charter schools accountable for student achievement. This strategy is based on the model of its

first acquisition, Harlem Prep Charter School, the first ever charter-to-charter turnaround in New York City.

In 2011, Harlem Day Charter School was the lowest performing school, public or charter, in Harlem and was slated for closure by its authorizer, the State University of New York (SUNY) Charter Schools Institute (CSI). However, instead of resorting to closure and disrupting students' education by consigning them to low-performing district schools, CSI issued an application for charter management organizations to apply to acquire and restructure the failed school. DPPS's application was approved unanimously by the SUNY Board of Trustees in March, 2011. Harlem Prep (HPE), DPPS's restructured version of Harlem Day, now delivers DPPS's proven model to the same students, in the same building with less philanthropic support, yet HPE is yielding dramatically improved results (See Section A of Other Attachments Form).

By pursuing an acquisition and turnaround strategy, DPPS seeks to replicate the model of Harlem Prep by working with authorizers to identify other charter schools that will either be imminently closed or not renewed upon charter review due to lagging academic performance, applying to acquire these charter corporations, and restructuring these schools to meet academic, operational, and financial goals.

The management plan for acquisition and turnaround schools is explained in detail in Section D, but is outlined here. First, members of the DPPS turnaround portfolio team incubate in turnaround schools in the application phase prior to acquiring and re-opening the school, assessing strengths and weaknesses of processes, facilities, and human capital. DPPS staff then recruits and provides professional development for newly hired and any returning staff. During the first two years of the turnaround, DPPS will flood the school with additional staff and increased oversight to ensure fidelity to the DPPS academic and cultural model and satisfaction of benchmarks. Following the transition phase, the school will be operated as would any other DPPS school, with a lean school-based staff, and, after three years, will be expected to meet standard network-wide academic and cultural goals. In all cases, DPPS will require all current teachers to reapply for their positions and will give all current students the

guaranteed opportunity to return to the restructured school, thus maximizing the potential for positive cultural shift within the building while minimizing disruption for students and families.

DPPS seeks to acquire and replicate its model to turn around one failed school each year for the next five years in New York, New Jersey and a new operating region. This represents 5 of the 15 schools DPPS will replicate or expand and 1,410 of the 3,944 (36 percent) of the new students to be enrolled in the DPPS network over the project period.

***c) Objective: Ramp up development of DPPS’s internal leadership pipeline, LEADER U, to provide human capital for these schools by training four candidates per year for five years.***

In order to replicate the DPPS model at the accelerated pace outlined in Figure 2, DPPS must address the largest barrier to replication: the lack of a robust pipeline of quality school leaders. DPPS plans to expand that pipeline by ramping up *LEADER U*, a rigorous and integrated school leadership development program designed to attract, prepare, and empower aspiring school leaders to run new DPPS schools in educationally disadvantaged communities.

(1) LEADER U Background

*LEADER U*'s accelerated 14-month program is innovative in that it combines the best direct instruction available, through Building Excellent Schools, with a yearlong residency in DPPS's network of high performing schools. Candidates first apply to Building Excellent Schools (BES), a rigorous, year-long training program in charter school leadership. From BES,<sup>17</sup> DPPS integrates the nation's best training in the effective practices of school leaders. BES Founder Linda Brown and BES Fellowship Director Sue Walsh have spent the last decade developing an incredibly focused and successful curriculum for school leadership based on five practices: developing a “no excuses” school culture, providing instructional leadership, building systems to drive data-driven instruction, managing charter

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<sup>17</sup> See Attached Letter of Support from Linda Brown, Executive Director of Building Excellent Schools.

school operations, and supporting high-need students. *LEADER U* Fellows will participate in relevant sessions with other BES Fellows and visit more than 25 high-performing schools across the country.

BES has traditionally been a two-year fellowship in “no excuses” school creation and leadership to prepare charter school executive directors. BES fellow-founded schools now serve nearly 7,000 low-income students around the nation with remarkable results.<sup>18</sup> For two consecutive years, the top-performing public school in New York City—the largest school system in the country—has been one founded by a BES fellow.<sup>19</sup> While the traditional BES program is two years, *LEADER U* fellows do not write their own charters or build their boards, and they operate with the support of the DPPS central office. Consequently, they need complete only those selected components of the traditional BES Fellowship that are designed specifically for instructional leaders. *LEADER U* Fellows receive 85 days of rigorous instruction and visit 20 to 30 high performing public charter schools.

While attending Building Excellent Schools, *LEADER U* fellows complete a year-long residency at DPPS. The residency will provide a setting for *LEADER U* Fellows to apply the theories and principles learned in their coursework while planning to open their own school the following August. The 12-month residency is spent working with the senior management team at DPPS as well as with current DPPS school leaders—rotating through the executive and key services teams (discussed in Section D) and various teams within DPPS schools. Additionally, the *LEADER U* Fellow serves as a member of the academic team at the CMO, providing a practical laboratory for applications of newly acquired skills

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<sup>18</sup> In the 2009-2010 school year, 499 teachers served 6,822 students in 31 BES Schools. See Section c) Research Case for *Leader U*.

<sup>19</sup> In 2010 and 2011 the top ranked middle schools in NYC according to the Chancellor’s Progress Report were Democracy Prep Charter School, founded by BES Fellow Seth Andrew, and Coney Island Prep Charter School, founded by Jacob Mnookin.

and theories. Once *LEADER U* fellows open their schools, they will receive continued support and coaching from DPPS's Academic Team and BES as they grow into their roles.

*LEADER U* Fellows are talented professionals from a variety of backgrounds; they are teachers, non-profit leaders, school administrators, and business leaders. *LEADER U* fellows, who must commit to growing their schools for at least four years post-fellowship, receive a \$90,000 professional stipend during their fellowship and are paid a starting salary of at least \$100,000.

## (2) The Research Case for *LEADER U* and Quality Leadership Training

There is a well-established body of evidence linking high quality principals and school leaders to student achievement. Conclusions from a selection of relevant research studies are included here:

- “The data from the meta-analysis demonstrate that there is, in fact, a substantial relationship between leadership and student achievement.”<sup>20</sup>
- “Results from a two-year Seattle study of the relationship between student performance and principal leadership show that the school principal is critical in ensuring academic achievement, especially for Black and low-income students.”<sup>21</sup>
- “Principal behavior and attributes significantly influence individual student achievement.”<sup>22</sup>
- “Differences in student achievement were found when schools were grouped according to principal leadership factors.”<sup>23</sup>

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<sup>20</sup> Waters, Tim, Robert J. Marzano, and Brian McNulty. “Balanced Leadership: What 30 Years of Research Tells Us about the Effect of Leadership on Student Achievement. A Working Paper.” *Mid-Continent Regional Educational Lab* (2003). Web. 10 Aug. 2011.

<sup>21</sup> Andrews, Richard L. and Roger Soder. “Principal Leadership and Student Achievement.” *Educational Leadership* 44 (1987): 9-11. Web. 10 Aug. 2011.

<sup>22</sup> Eberts, Randall W. and Joe A. Stone. “Student Achievement in Public Schools: Do Principals Make A Difference?” *Economics of Education Review* 7.3 (1988): 291-299. Web. 10 Aug. 2011.

- “Findings indicate that teacher perceptions of principal behaviors focused on improving school learning climate were identified as predictors of student achievement.”<sup>24</sup>
- Further, student achievement data from 2009-10 suggests that BES training produces leaders whose schools outperform their districts and states.
  - 76% of BES Schools served a high poverty population and achieved greater than 50% proficiency on state examinations.
  - 81% of BES Schools performed better on 2010 State-Mandated Examinations than their respective districts.
  - Further, 62% of BES Schools performed better on their 2010 State-Mandated Examinations than their respective districts AND states.<sup>25</sup>

### (3) *LEADER U* Scale-Up

Thus far, six school leaders have gone through the various elements of *LEADER U*, but only five have successfully opened and run DPPS schools following their fellowships. Several factors can cause a leadership investment to fail, from leaders unexpectedly relocating for personal reasons, failing to be prepared to open a new school, or inadequately executing responsibilities and proving to be a better fit for a different role. Due to these somewhat unpredictable factors, DPPS recognizes it must offer more *LEADER U* fellowships each year than there are spots open for school leadership. This way, *LEADER U*

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<sup>23</sup> Valentine, Jerry W. and Mike Prater. “Instructional, Transformational, and Managerial Leadership and Student Achievement: High School Principals Make a Difference.” *NASSP Bulletin* 95 (2011): 5-30. Web. 10 Aug. 2011.

<sup>24</sup> O’Donnell, Robert J. and George P. White. “Within the Accountability Era: Principals’ Instructional Leadership Behaviors and Student Achievement.” *NASSP* 89 (2005): 56-71. Web. 10 Aug. 2011.

<sup>25</sup> *Building Excellent Schools 2009-2010 Report Card (Vol. 2)*. Boston: Building Excellent Schools, 2011.

fellows determined to be unprepared can spend an extra year in residence as an assistant school leader prior to building their own schools, and DPPS can withstand some small degree of error in its selection process. To date, only two qualified fellows have been identified within DPPS’s network each year. Moreover, DPPS has required significant external financial support to support these fellows. Without external support, DPPS could only support one fellow per year. It is precisely these obstacles that have limited DPPS to opening just one new school per year despite tremendous need and demand.

A CSP replication grant would provide essential funding to allow DPPS to grow *LEADER U* beyond its current capacity to be able to develop four prospective leaders per year. Figure 3 is a schedule depicting the rate at which *LEADER U* candidates will be accepted to the program, the number that will be leading schools, and the number of excess trained leaders. This model, during each year of the project, accounts for a small failure rate as well as for variations in the time needed to develop school leaders.

Figure 3: *LEADER U* Expansion Schedule

	PY 0	PY 1	PY 2	PY 3	PY 4	PY 5	Project Total
	11-12	12-13	13-14	14-15	15-16	16-17	12-17
<i># Total replicated (non-expansion) schools</i>		3	5	8	10	13	13
<i># Fellows in training</i>	(2)	4	4	4	4	4	20
<i># Fellows leading schools</i>		2	5	8	10	13	13
<i># Fellows in the wings</i>		0	1	2	4	5	5

Scale up will not require significant new program development or personnel recruitment because it leverages preexisting training curricula and programs for maximum impact. DPPS will use its own proprietary leadership training tools along with resources furnished by partner organizations, such as BES, to refine the one-year *LEADER U* curriculum using its most impactful elements. However, aside

from securing CSP funding to pay for direct fellowship costs, increasing *LEADER U's* capacity will require two endeavors supported by CSP funds: (1) a robust national marketing campaign and recruitment strategy to promote the opportunity to high quality potential candidates across industries, and (2) hiring a *LEADER U* coordinator to manage the growth of the program.

**2. GOAL: Demonstrate that charter school networks can increase the accountability of charter schools nationally and be an integral part of a whole district reform.**

In addition to impacting 3,944 new students in educationally disadvantaged communities, this project also has the potential to prove that high-performing charter school networks can truly “move the needle” on education reform.

***a) Objective: Employ an acquisition replication strategy in at least 5 schools over five years.***

Success of the acquisition and turnaround strategy has the potential to revolutionize the charter school movement. Researchers have proffered various estimates, but they generally agree that a large percentage of charter schools across the country perform, on average, worse than district public schools.<sup>26</sup> Stated otherwise, nearly half of charter schools are underperforming and failing to meet the goals set out in their charters. Charter school authorizers, by failing to close even a small percentage of these schools, are necessarily failing to hold up their side of the bargain. Oftentimes, from the point of view of an authorizer, there is good reason to keep an underperforming school open. School closure is a difficult proposition for a number of reasons. First, no family or school staff wants to hear that their

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<sup>26</sup> *Multiple Choice: Charter School Performance in 16 States*. Center for Research on Education Outcomes (CREDO), June 2009. Web.

<[http://credo.stanford.edu/reports/MULTIPLE\\_CHOICE\\_CREDO.pdf](http://credo.stanford.edu/reports/MULTIPLE_CHOICE_CREDO.pdf)>. *See also*:

Hoxby et al, “How New York City’s Charter Schools Affect Student Achievement.” September, 2009.

Accessible: [http://www.nber.org/~schools/charterschoolseval/how\\_NYC\\_charter\\_schools\\_affect\\_achievement\\_sept200.pdf](http://www.nber.org/~schools/charterschoolseval/how_NYC_charter_schools_affect_achievement_sept200.pdf)

school is being closed. Second, families are at times forced to send their children to far worse performing, or even dangerous, district schools. Finally, teachers, who face potentially losing their livelihoods, can exert tremendous political pressure on the elected officials who appoint authorizers.

The acquisition and turnaround strategy minimizes these concerns and is significantly preferable to school closure. Parents do not have to adjust their commutes or worry about sending their children to unsafe schools, neighboring schools do not have to deal with a sudden influx of students, teachers may at the very least reapply for their jobs, and students get a far better education.

DPPS anticipates that, through documenting and disseminating the stories of success at five acquisition and turnaround schools over the course of this project, charter school authorizers across the country will adopt this strategy as a new approach in their school closure toolkits. This will increase accountability for charter schools across the nation, leading to more failing schools being restructured rather than closed, strong incentives for middling schools to strive to meet goals in the face of authorizers that are no longer too timid to act, and resulting in improved student outcomes on a quicker time horizon than traditional closure—all while minimizing family strife and political conflict.

***b) Objective: Expand and replicate to serve 2,682 students in Harlem, reaching parity between parent supply and demand in an entire city school district.***

For the first time ever, DPPS expects that, this year, demand in Central Harlem (CSD5) for sixth grade seats at DPPS middle schools will be less than supply. (Citywide demand remains high with thousands of students sitting on waitlists). While demand for DPPS will likely increase as more Harlem families become aware of its successes, the expansion and replication of 10 DPPS schools in Harlem—along with the continued expansion of other high-performing charter school networks such as the Harlem Success Academies—brings parity between supply and demand for all grade levels in Community School District 5 within sight.

Should these events transpire, an entire urban community—for the first time ever—will have the unrestricted choice of an excellent public school. Dissemination of this success to the broader education

community and news media will bolster the standing of the charter school movement and encourage a clustered growth model such as DPPS's, as opposed to an individual proof-point model, such as that used by KIPP and other networks.

### (1) Measuring Project Outcomes

As DPPS embarks on this five-year period of accelerated growth, it aims for all new schools (i.e. those led by *LEADER U* graduates) to meet its criteria for excellence in three key categories: (a) academic performance, (b) mission advancement, including college and civic success, and (c) organizational strength. It will also contract with an external evaluator to further measure its success.<sup>27</sup> Notably, the goals below give time horizons for expanded schools and schools replicated using the public demand strategy; at charter acquisition and turnaround schools, where the school must transform from failing to high-performing, these goals must be met at the end of the third year of operation and show increases each year until then. Additionally, DPPS has identified (d) intermediate outcomes for acquisition and turnaround schools.

#### (a) *Academic Excellence*

All CSP-supported DPPS schools will continue to demonstrate objectively what its students are learning in preparation for college and citizenship.

- Absolute Goal: 70% of DPPS students who have been at the school for one year will perform at the proficient or advanced level on the state assessment in math, and 55% will be proficient in English Language Arts, increasing by at least 5% per year so that at least 80% of all students are proficient or advanced by their fifth year at a DPPS school.
- Value Added Goal: 75% of DPPS students who have not yet attained the 75<sup>th</sup> National Percentile Rank (NPR) will improve by 5 NPRs each year on a nationally-normed exam such as the Measure of Academic Progress (MAP) or the Terra-Nova.

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<sup>27</sup> The Evaluation Plan is discussed in depth in Section E: Evaluation Plan.

- Comparative Goal: 100% of DPPS cohorts will exceed district average proficiency on state tests in all core subjects at all grade levels tested.
- Control Group Goal: In both math and reading, students who are accepted into the DPPS lottery will outperform similar students who were not accepted into the DPPS lottery by statistically significant margins.<sup>28</sup>

*(b) Mission Advancement*

DPPS's mission seeks to leverage academic excellence to accomplish two specific goals for all students: success in college and active democratic citizenship. Both goals are long-term and ambitious in nature, but preparation for success will be carefully monitored by keeping in close contact with our alumni and their families.

- Preparation for College Success: DPPS schools must prepare all students for success in college, which is measured by rigorous college-prep academic goals established for all students. In order to graduate from a DPPS middle or high school, a student must complete and exhibit a College Preparation Portfolio (CPP) which includes a complete college application (essays, interview, transcript, extra-curricular activities, recommendations, etc.) as well as demonstrate mastery in all areas of the DPPS curriculum. College success is measured based on 100% of DPPS students receiving at least two college acceptance letters, 90% of graduates attending four-year colleges and universities, and 75% of graduates receiving a bachelor's degree within six years of graduation.
- Preparation for Civic Success: DPPS believes that public schools have a primary responsibility both to educate students for college and to improve the democratic infrastructure of the

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<sup>28</sup> This goal is subject to a control group evaluation being possible in any particular case.

community.<sup>29</sup> DPPS's goal is to ensure that all graduates are able to participate and take leadership roles in civic institutions. Through required service learning, summer experiences, internships, debate, and other civic activities during in- and out-of-school time, students will apply the knowledge, skills, and character they have developed in the academic program to help change the world. Graduates must be poised public speakers, respectful debaters, skilled negotiators of conflicting information, engaged community members, critical thinkers, and confident leaders. The measurement of these goals includes standardized testing (NAEP Civics), community service data, interscholastic competition results, and metrics of school behavior and citizenship such as "DREAM Dollars."

*(c) Organizational Strength*

- **Financial Viability:** DPPS's goal is to demonstrate superior civic and college-preparatory academic performance with approximately the same financial resources as traditional public schools. CSP funds are to be used for start-up costs for the CMO and the creation of new schools. DPPS schools will be sustainable on public dollars at the start of their first year. DPPS schools will operate with a surplus each year and continue to maintain the highest standards of financial controls, management, reporting, and auditing.
- **Public Viability:** DPPS's goal is to demonstrate family demand for, and satisfaction with each DPPS school. As students' success will be the ultimate indicator of organizational viability, DPPS will maintain a waiting list of at least 25% of available seats at each school each year (but under 100 families in Harlem by 2017); have an average school-year negative attrition rate that is 5% or less at each school; have an average daily attendance of 95% or better for students and

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<sup>29</sup> Our approach to building democratic infrastructure is similar to that outlined by Robert Putnam in "Bowling Alone." We have identified Social and Civic capital as two quantifiable and demonstrable ways to measure the effect we have on our community.

staff at each school; garner an 80% satisfaction rate from families in the areas of academic rigor and high expectations of the teaching staff at each school; and ensure that 80% of community partners and visitors are satisfied with the quality of DPPS's academic and civic programs.

*(d) Additional Turnaround Outcomes*

- Students: While students enrolled in soon-to-be turned around schools are guaranteed a seat in the restructured school if they apply, they are not required to reapply in the lottery. DPPS must ensure that at least 65% of previously enrolled students remain at the school.
- Staff: DPPS must allow all staff at a failing school to reapply for their jobs, but 50% of staff must be turned over.

**D. Management Plan**

DPPS is in an ideal position to facilitate the scale of growth enabled by a CSP grant because of its (1) achievement-focused organizational logic, (2) strong internal capacity for accelerated growth, (3) long-term financial sustainability, and (4) positive relationships with charter authorizers and education departments in target regions (See Other Attachments Form). DPPS's project management plan (5) is a reflection of the tasks, milestones, and timelines necessary to faithfully execute this project.

**1. Organizational Relationships and Network Structure**

The network configuration DPPS has chosen is designed to maximize school impact and quality. Finding the appropriate balance between school leader autonomy and central control is critical. The DPPS approach is a hybrid structure that encompasses aspects of decentralization (school leader autonomy and personalization) and centralization (uniformity of accountability, expectations, and outcomes). The DPPS network structure was conceived to set up schools and support schools operationally, and to a degree academically, so that school leaders may be truly instructional leaders that focus on leveraging teachers to maximize student achievement.

***a) The Charter Management Organization***

Democracy Prep Public Schools (formerly known as Democracy Builders), which was established as a non-profit 501(c)(3) in 2005, manages its schools by providing institutional support pursuant to a contractual management agreement between the boards of trustees at each school and DPPS. These management agreements are legal documents that clearly define the roles and responsibilities of both DPPS and the schools managed by DPPS.<sup>30</sup>

DPPS assumes responsibility for the charter school's educational process, management, and operations, under the supervision of the board where applicable. DPPS devotes the necessary time and effort, and will retain and allocate sufficient personnel, to meet the educational goals outlined in each school's charter and management agreement.

DPPS has built and will expand a menu of lean and efficient central administrative functions that guide school start-ups and provide back-office support to schools. The central office provides professional development and instructional tools, including proven curricular materials, standardized assessments, and student data management and analysis through its academics and knowledge management teams, as well as essential non-instructional services through its finance, operations, external affairs, talent, and family and community engagement teams. By centralizing many administrative and financial tasks, the DPPS network is able to

- Build an increasingly supportive administrative infrastructure to ensure that school leaders and educators are able to focus solely on teaching and learning;
- Establish a safety net and rapid response system to address school level problems;
- Gain efficiency and decrease per student administrative costs through common instructional and operational supports;

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<sup>30</sup> See the attached management agreement between Democracy Prep Public Schools and Democracy Prep Charter School for the template for all DPPS schools.

- Demonstrate sustainable success at scale to help drive broader change; and
- Leverage and develop leadership talent by expanding *LEADER U*.

Figure 4 shows the seven CMO teams and key services each provides to individual schools.

Figure 4: Core Services Teams and Key Functions



**The Academics Team** is responsible for providing direct support to school leaders, providing network-wide professional development, and maintaining and improving the network-wide curriculum and assessment systems. These systems will include curriculum scope and sequence, evaluation measures, and comprehensive exams on a six-week cycle that are administered to all scholars in a region at the same grade level. The academics team provides extensive planning assistance, and helps to provide feedback and analysis of diagnostic assessments to teachers and school leaders. It supports school leaders with professional development, inspections related to school culture and academic rigor, and provides overall instructional oversight to advance comprehensive school quality. DPPS coordinates and provides regular network-wide professional development and training sessions including an annual Democracy Prep symposium and subject area summits throughout the year. Individual school leaders will receive direct support from the Chief Academic Officer and Assistant Superintendent for Acquisition and Turnaround. The academics team will also house the *LEADER U* Coordinator and will be responsible for supporting *LEADER U* Fellows.

**The Finance Team** manages all finances for the central office and performs financial analysis, stress test analysis, and long-term planning for the CMO and individual schools. Additionally, the finance team prepares individual school annual budgets in collaboration with the school leader and presents them, along with quarterly financial statements, for approval to school-level boards of trustees. The finance team supports the creation of systems for accounts payable, accounts receivable, and payroll, and it oversees the accounting process. Day-to-day bookkeeping entries are completed by school-level operations managers according to the DPPS fiscal policies and procedures manual (see Other Attachments Form). The finance team is also responsible for ensuring all schools receive their commensurate share of federal education funds allocated by formula every year.

**The Operations Team** provides support and consultation on all matters related to facilities and capital improvements, both public and private. The team also provides support in benefits administration, procurement systems, food service, and student transportation issues. While they report directly to school leaders, school-based office managers and student registrars are supported by the operations team to create efficient student records systems, filing methods, and school safety plans, and to help liaise with the fire and police departments, transportation companies, food service providers, and vendors.

**The External Affairs Team** is responsible for telling the story of Democracy Prep to the world, including funders, philanthropic partners, dignitaries, elected officials, and boards of trustees. This team is primarily responsible for new and acquisition charter applications, charter renewals, and fund development through philanthropic and government grant writing. The external affairs team is also responsible for managing boards of trustees at all DPPS schools, including scheduling, trustee recruitment, and recording of minutes.

**The Knowledge Management Team** is responsible for researching, documenting, and disseminating best practices at DPPS and across the school reform movement to individual DPPS school leaders and teachers. Data captured at the classroom and school level are aggregated and analyzed by the knowledge management team through sophisticated student information management systems and compared across

the network for patterns and trends. The team is also responsible for preparing school-, board-, and network-level dashboards with a focus on quality data visualization. It oversees technology systems infrastructure, e-rate compliance, management of information technology, and cross-network platforms, and it works closely with school-based technology staff.

***The Family and Community Engagement Team*** is responsible for DPPS’s press, marketing, branding, and web presence. The Democracy Prep theory of social change relies on the family and community engagement team to ensure that families, scholars, and staff are excellent advocates who can be mobilized for the purposes of social action on a wide variety of issues. This includes network-wide efforts such as “I Can’t Vote, But You Can” campaigns, student lobby days, and voter registration drives. Advocacy also includes efforts to build relationships and institutional partnerships with organizations that share common purposes.

***The Talent Team*** recruits from a national pool of educational talent to fill positions at DPPS schools and at DPPS’s central office. Talent team members attend national recruitment fairs, hold university information sessions, and network through social media. After gathering initial resumes and applications, the talent team vets prospective candidates and presents them for final review by their prospective direct supervisors after they schedule a sample lesson or a similar authentic task. The talent team is also responsible for tracking and encouraging staff satisfaction and long-term staff retention.

***b) Common School Structure***

DPPS has achieved its results using its proven school model. All DPPS schools share a common organizational template enabled by DPPS CMO services that maximizes focus on student achievement. The DPPS CMO handles the vast majority of administrative duties, and a lean school-based operations staff handles the rest so that campus directors can focus 99% of their focus, energy, and time on leveraging their staff to generate high-levels of student achievement.

Figure 5 shows how the DPPS typically builds out school-based staff from year one to full-growth. For specific numbers of projected staff over the budget period, see the Multiyear Budget in the Other

Attachments Form. Acquisition schools will typically start with Year 3 staff levels as they will open with between 200 and 300 students.

Figure 5: School Staffing Model

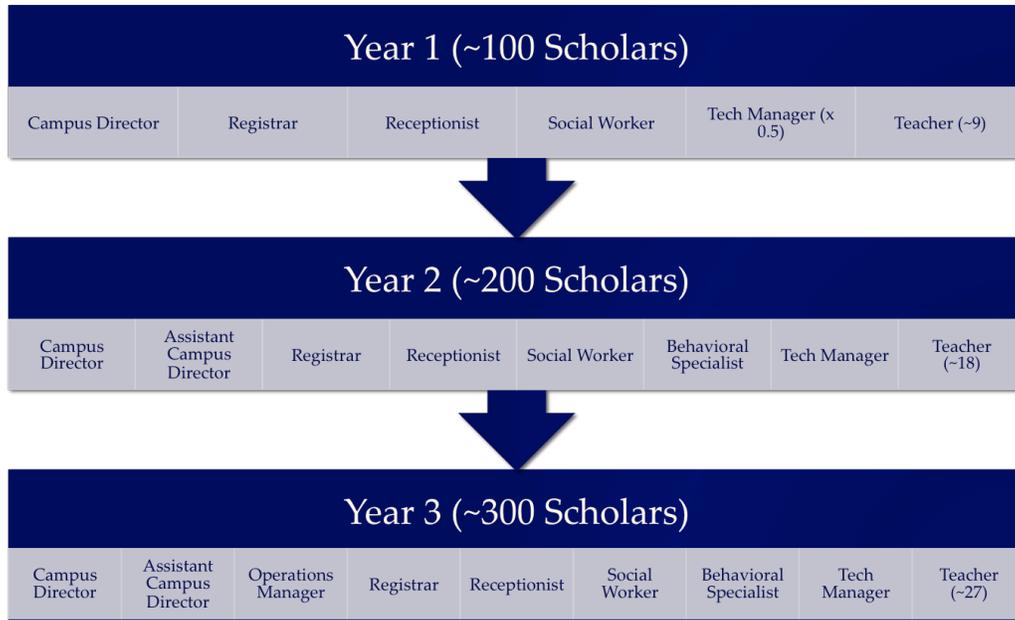
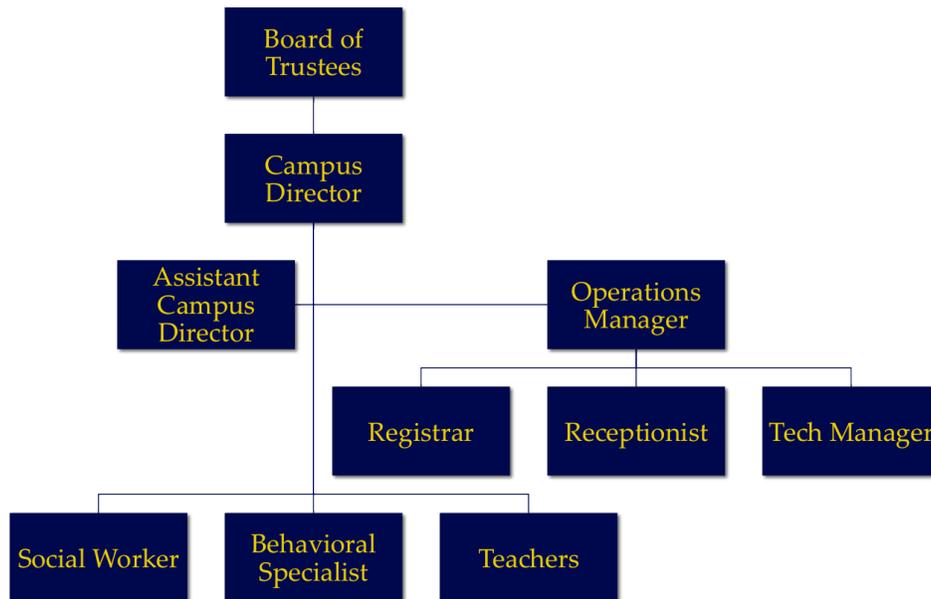


Figure 6 shows the reporting structure at the school level including the school boards of trustees.

Figure 6: Sustainable School Staffing Model for Schools in Third Year of Growth (and onward)



(1) School Staff Responsibilities

The **campus director** is the instructional and cultural leader of the school. The campus director serves as the instructional leader appointed by and directly accountable to the Board of Trustees. He or she is responsible for the management of the school to ensure that the terms of the charter are met. The campus director will be responsible for all hiring, with guidance from his/her team and with the support of DPPS. He or she will be hired by the school board of trustees at the recommendation of DPPS and held accountable by the *balanced scorecard*, included in the Other Attachments form. The **assistant campus director**, added in year two, serves as the deputy leader of the school and maintains oversight responsibility over either instruction or school culture.

Teaching positions comprise core academic faculty and co-curricular faculty. The **core academic faculty** is responsible for teaching math, science, English and social studies. The core academic faculty reports to the school leader and will be held accountable for the academic improvement of their students. The **co-curricular faculty**, including ACT teachers (special education teachers and ELL teachers), are responsible for teaching a wide range of academic and extracurricular subjects. The co-curricular faculty will include part-time instructors and full-time staff in the areas of special education, arts, technology, foreign language, health, social work, teaching fellows, electives, tutoring, physical education, and extracurricular activities. Certified special education teachers will provide small group, one on one, targeted instruction for special needs students.

The **operations manager** serves as an administrative officer, appointed by and directly accountable to the campus director. This person shall be responsible for accomplishing the organizational strength goals as established by the charter, the accountability plan, and the school leader. The operations manager's portfolio will include reporting, school-level human resources, technology, facilities, transportation, finance, purchasing, food provision, and enrollment. At full growth, the operations staff will include other contracted services. The operations manager will have significant support from the operations team at DPPS in all areas of the portfolio.

The **registrar** is responsible for enrolling all new scholars after the lottery has occurred and maintaining and securing student records. The registrar serves as the primary contact for families and student services. The **receptionist** is an hourly employee (~25 hours per week) with a schedule that is determined by the campus director. The **social worker** is responsible for the social-emotional health of a campus. The **tech manager** is responsible for ensuring that technology (copiers, computers, projectors, smart phones, phones) is in proper working condition. The **behavioral specialist** works with students to manage behavior and collaborates with social workers to develop behavior management plans.

*c) School Boards of Trustees*

Consistent with and as required by state law, the school board of trustees will serve as the independent governing authority of each charter school and will be ultimately responsible to the authorizer for meeting goals for academic achievement and organizational viability set forth in the charter. As the governing authority, the board will take on the general oversight, policy-making, and fiduciary obligations associated with operating the school in an efficient and ethical manner.

Where required by state law, the school boards will be independent boards of trustees that will contract with DPPS to manage the operations of the school. The management agreement details the services provided by DPPS and contemplates the relationship between the board and DPPS, as it relates to termination, contingencies, materials, evaluation, and oversight (see the Other Attachments Form for a sample management agreement). The representatives of DPPS who serve as trustees of individual school boards will recuse themselves from any votes that raise potential conflicts of interest.

In addition, where mandated by governing law, a school board's principal function will be to oversee the charter management agreement with DPPS. Each must also meet its obligation to hear complaints and to comply with all applicable state and federal laws and regulations. At regular board meetings, held in accordance with applicable open meeting laws, representatives of DPPS and individual schools will present a board dashboard, which is a comprehensive visualization of academic, cultural, financial, and staffing data, to keep the board informed of progress being made toward agreed-upon goals. The board

as a whole will evaluate itself primarily on the success of the entire school, based on the *balanced scorecard*, included in the Other Attachments Section. If the school does not meet expectations based on that document's quantitative indicators, then the Trustees will need to determine what can be done to improve the situation, with thought given to potential changes in administration, policies, board composition, fundraising, or other needed areas.

DPPS reserves the right to terminate its relationship with any of its schools at any time, preventing them from using intellectual property owned by DPPS, including trademarked items such as the the words "Democracy Prep" in either the school's name or the language surrounding that school.

## **2. Internal Capacity**

As outlined above, DPPS schools are supported in several ways by the highly experienced team of operations and academic specialists with extensive experience in building new organizations, strategic planning, and instructional leadership. Together, DPPS CMO staff has several decades of instructional and organizational experience in the charter sector and beyond. Key CMO staff currently includes, but is not limited to, the individuals listed below. Additional support staff provides administrative assistance to the directors (See the DPPS staffing buildout tab of the Multiyear in the Other Attachments Form).

### ***Seth Andrew, Founder and Superintendent and Project Director***

Mr. Andrew is a special education teacher, school administrator, consultant, and graduate of the New York City public school system who was born and raised in Upper Manhattan. Mr. Andrew was Head of School of Democracy Prep Charter Middle School (DPCM), which he founded in 2005. After only three years, the school became the highest performing public school in Harlem. In 2010, DPCM ranked number one out of more than 500 middle schools across the entire city of New York. Acceding to the role of superintendent in 2010, Mr. Andrew brought his background in and passion for special education and civics to DPPS, both of which are unique aspects of the network's rigorous college preparatory focus. Mr. Andrew studied high-performing schools across the country as a BES Fellow, where he trained under the best school leaders in the country to open DPCM. Mr. Andrew holds a bachelor's

degree in education and public policy & American institutions from Brown University. He has completed coursework at the Harvard Business School and earned a master's degree in school leadership & school development from the Harvard Graduate School of Education, where he is an adjunct member of the faculty.

***Katie Duffy, Chief of Staff***

Katie Duffy, Chief of Staff of DPPS, is responsible for all internal and external communications, setting organization priorities, overseeing the operations of the CMO and leading all new schools development within the network. She helps develop and maintain internal systems to increase effectiveness of the network and serves as the primary point of contact for all institutional partners, including the Boards of Trustees. In addition to her role as Chief of Staff, Ms. Duffy is the Interim Executive Director at Harlem Prep Charter School, where she is overseeing the transformation of the New York City's first charter-to-charter turnaround effort. Ms. Duffy joined DPPS in the flagship school's first year of operation after several years working in charter schools and educational nonprofits in New York City. Ms. Duffy graduated from Mount Holyoke College and earned her master's degree in education leadership from George Washington University.

***Dr. Samona Joe Tait, Chief Academic Officer***

Dr. Tait began her career as a teacher in the School District of Philadelphia, teaching first at the elementary school level and then teaching English and science for grades 6-8 and coordinating afterschool programs at Barratt Middle School. After returning to New York City, Dr. Tait turned her focus to secondary level education, serving as Director of College Counseling Services at Prep for Prep and then working with low-performing schools through the Department of Education as program director for schools under registration review. In 2001, Dr. Tait became principal of PS 290, an elementary school in East New York, Brooklyn. Subsequently, she served as a local instructional superintendent for 14 elementary, middle, and high schools in the Bushwick neighborhood of Brooklyn, and in the Corona, Jackson Heights, Astoria, and Long Island City neighborhoods of Queens. Dr. Tait

served briefly in the Chancellor's Office as Chief of Staff to the Deputy Chancellor for Teaching and Learning until 2007 before assuming the position of Head of School at the Bronx Preparatory Charter School where she served until joining DPPS in 2011. Dr. Tait holds a B.A. and an M.S.Ed from the University of Pennsylvania and an M.Ed. and Ed.D. from the Harvard University Graduate School of Education.

***Sean Gallagher, Assistant Superintendent for Acquisition and Turnaround***

Mr. Gallagher is an experienced urban educator with a proven track record of delivering strong student achievement. After beginning his career with the Vanguard Group, Mr. Gallagher taught for seven years in an underserved section of North Philadelphia, where he developed a strong desire to influence the reform of public education beyond the confines of his classroom. As a result, Mr. Gallagher became a founding teacher at the acclaimed Mastery Charter High School in Philadelphia and subsequently served as Vice Principal of Independence Charter School, which was recognized as a 2007 National Charter School of the Year by the Center for Education Reform. After completing a Building Excellent Schools fellowship, Mr. Gallagher founded Akili Academy, which, under his leadership, became the highest performing open-enrollment school in the city of New Orleans. Mr. Gallagher holds a B.A. in Economics from Villanova University, an M.S. in instruction from Drexel University, and an M.A. in educational administration from Gwynedd-Mercy College.

CMO service team leaders bring a wealth of diverse experience in and out of the charter sector to help support DPPS schools.

***Melanie Hok, Director of Finance***

Ms. Hok is a native New Yorker originally from the Bronx. Prior to joining DPPS, Ms. Hok was the Director of School Operations at Amistad Academy, an Achievement First flagship charter school located in New Haven, Connecticut. Ms. Hok has also served as Center Director for an educational center specializing in supplemental education in Harlem and is a former Social Studies/History teacher

at Breakthrough Collaborative in Riverdale, N.Y. and Cambridge, Mass. A product of the New York City public school system, Ms. Hok holds a degree in Anthropology from Wesleyan University.

***Chiv Heng, Senior Director for Knowledge Management***

Mr. Heng was born and raised in Providence, Rhode Island, and received his B.A. in political science from the University of Rhode Island. After graduation, Mr. Heng worked for the Mayor's Office of Policy in the City of Providence before spending time abroad in Thailand. Since his return to the U.S. in 2005, Mr. Heng has been involved with various nonprofit organizations in Providence. Before joining the DPPS team in early 2010, he served as the Director of Information Technology for The Providence Plan, where he was able to fuse his technical skills and passion for mission-based work. He served as Director of Operations for Democracy Prep Blackstone Valley for one year prior to relocating to New York to fill his current position.

***Linda Jones Easton, Senior Director for Human Resources and Facilities***

Ms. Easton is a Manhattan resident whose career has included positions with the Montclair, New Jersey Board of Education, Harlem Dowling Children's Services, and Sheltering Arms Children's Service, where she served for over 20 years. Ms. Easton has been a member of the Board of Directors of the Immaculate Conception Elementary School in Montclair, Manhattan's Creative Arts Workshop for Children, Upward, Inc., the Brooklyn Charter School, BELL New York, and the District Council 1707, Local 215 Health and Benefit Fund. She is a founding Board member of Harlem Day Charter School.

***Princess Lyles, Esq., Director of Family and Community Engagement***

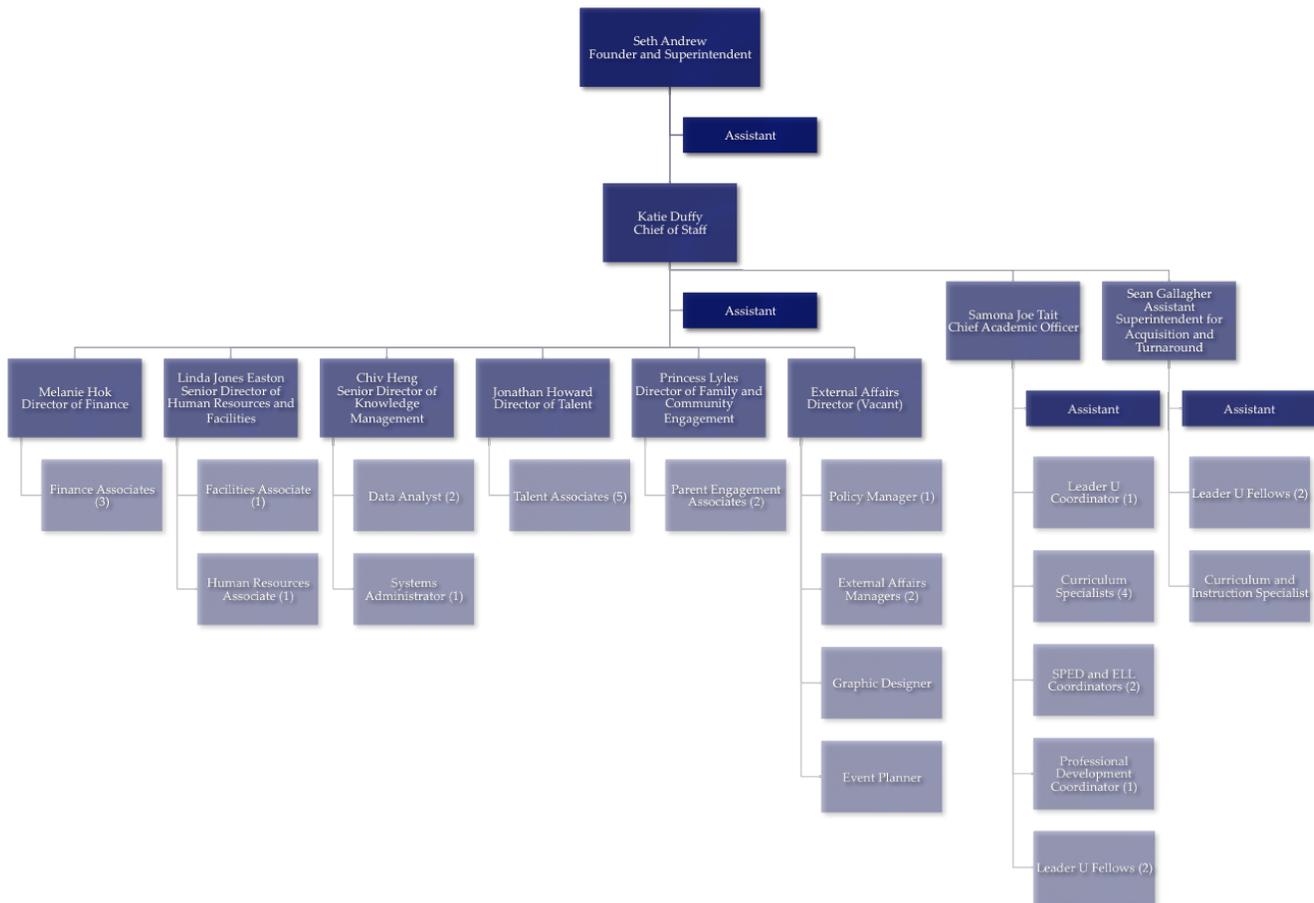
Ms. Lyles manages new student recruitment, student enrollment, and community outreach initiatives for the DPPS network. Ms. Lyles also manages initiatives that focus on providing DPPS families with opportunities to engage in the communities where its schools are located. Ms. Lyles holds a B.A. in political science from Spelman College and a J.D. from Howard University School of Law. Prior to joining DPPS, Ms. Lyles practiced corporate and real estate law and worked with several nonprofit organizations.

**Jonathan Howard, Director of Talent**

A 2006 Teach For America Corps Member, Mr. Howard spent two years teaching students with special needs in Harlem before transitioning to his current role. Mr. Howard also serves the Harlem community through his work as a member of the Board of Trustees of St. HOPE Leadership Academy Charter School. An Arizona native, Mr. Howard is a proud alumnus of Arizona State University where he earned a degree in Management in 2006. He holds a Master’s degree in teaching from Pace University and is currently pursuing an M.B.A. at the University of North Carolina at Chapel Hill.

Figure 7 shows the organizational chart for the DPPS CMO in the 2012-13 school year.

Figure 7: CMO Organizational Chart



**a) Staffing Growth Plan**

While the current CMO staff is well equipped to manage its current portfolio and thus primed for growth, the staffing plan contemplates considerable growth of each service team in the first three years

of the project, and smaller additions in years 4 and 5. A DPPS Staffing Build-Up tab is included in the Multi-Year Budget, included in the Other Attachments Form. The key new hire over this period is the *LEADER U* Coordinator, whose responsibilities and qualifications are outlined here. Qualifications for Sue Walsh, Fellowship Director at Building Excellent Schools and the key consultant on this project, are also provided in this section.

The *LEADER U Coordinator* will be a skilled manager with significant experience managing complex projects, and will have at least two years of experience working in a high-performing charter school. In the program's first year of operation, the *LEADER U Coordinator* will be responsible for coordinating with Mr. Andrew and Dr. Tait to develop the *LEADER U* combined curriculum, design a fellow placement strategy, and plan the extended leadership residency at DPPS and its schools.

**Sue Walsh** will be *LEADER U*'s principal consultant, and will oversee development of the combined curriculum in coordination with Mr. Andrew and Dr. Tait. Ms. Walsh is an experienced urban charter school leader and has invested 10 years in Massachusetts charter schools as a teacher, master teacher, curriculum coordinator, and principal. Ms. Walsh is dedicated to the core beliefs of rigorous performance-based academic achievement and the urgency of pushing schools to become as high quality and high performing as they need to be for all students. Ms. Walsh was a founding member of the Lowell Middlesex Academy team, an organization that shifted from a successful program for at-risk students to a highly regarded, award-winning charter school. Ms. Walsh was the principal of the Boston Collegiate Charter School prior to joining Building Excellent Schools as the Fellowship Director.

### **3. Financial Sustainability**

DPPS's financial model has allowed both its existing schools and the CMO to be sustainable on 100% public funds from inception. DPPS only uses philanthropy for schools prior to their opening and for facilities support. This runs contrary to the practice of most CMOs, which rely on substantial philanthropic funding to support both operating expenses of schools and back-office support of the CMO. A 2010 Mathematica Report found "many CMOs are struggling to create the necessary economies

of scale to sustain their central offices without heavy reliance on philanthropy. The average CMO relies on philanthropy for approximately 13 percent of its total operating revenues, but many CMO central offices could not exist today without philanthropy. (New Schools-funded CMOs rely on philanthropy for an average of 64 percent of their central office revenues.) Moreover... self-funded operations have proven elusive.”<sup>31</sup>

DPPS has already accomplished this “elusive” goal. With CSP funding, DPPS will be able to escalate its pace of growth and achieve school-fee-based self-sufficiency for the CMO over the five-year life of the CSP grant, excluding only leadership training and facilities. Less start-up costs, the proven DPPS model can be replicated in many communities across the country without requiring any additional funding for public education, but rather by reallocating existing public funds already targeted for low-income students. If a DPPS school can receive funding roughly equal to that of the surrounding public district, as they do in New York, the financial model can be replicated nationwide.

***a) CMO Management Fee***

DPPS prides itself on operating its schools with the public funds it receives from the city, state, and federal government. The fee structure for services rendered by DPPS is delineated in the sample management agreement included in the Other Attachments Form. Essentially, DPPS receives a fee in an amount equal to 15% of the school’s non-competitive public revenue during the initial year of the contract term. The management fee then decreases by one-half percent (0.5%) during each subsequent twelve-month renewal period (for acquired schools, decreases begin after year two). For the purpose of the Management Agreement, “non-competitive public revenue” is defined as revenue derived from federal and state funds provided for a charter school, on a per pupil, titled funding, and special education funding basis, including Start-up Grants, State Per Pupil Funding, Federal Title funding, Federal

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<sup>31</sup> Robin Lake et al, “The National Study of Charter Management Organization (CMO) Effectiveness.” June, 2010. P. 62.

Individuals with Disabilities Education Act funding, and Federal and State American Recovery and Reinvestment Act Funding, provided that doing so would not violate the contract terms of that grant.

***b) Multi-Year Financial Model and Business Plan for After Funding Period***

The five-year DPPS financial model reflects staffing and expense assumptions for the five-year period beginning in July 2012. The document also includes two outputs from that model: a projected profit and loss statement as well as a balance sheet. See Other Attachments Form for a DPPS Multi-Year Financial Model. For discussion of the budget for grant funds specifically, see the ED524 form and the Budget Narrative.

The DPPS schools created through this project will remain open and will continue to serve students indefinitely because they will be fully sustainable on public dollars. After the five-year grant period, DPPS growth and expansion within existing and into new concentrated growth regions would continue at a reduced pace of approximately one new school per year.

DPPS also expects to continue to receive additional start-up funds for all additional schools built after the period of the grant for school operations. Additional start-up funds are available from the Federal Charter Schools Program and the Charles Hayden Foundation (see attached letter of support). DPPS will also actively pursue matching fund prospects through the Calder Foundation, the Walton Foundation, Charter School Growth Fund, New Profit, and New Schools Venture Fund. Additionally, throughout this period and thereafter, DPPS will maintain strong internal capacity and positive relations with charter authorizers and education departments so that DPPS is prepared to grow as long as parent demand in the target communities remains strong.

**4. Positive relationships with charter authorizers and education departments**

As indicated in their letters of support, DPPS also has the long-term support of the NYC Department of Education (NYC DOE), Charter Schools Institute at the State University of New York (CSI), and the New York State Education Department (SED) to fairly review additional charter applications from DPPS to serve students attending the persistently low-performing schools within the city that have been

identified for improvement, corrective action, closure, or restructuring under section 1116 of the ESEA. Moreover, the NYC DOE has agreed to assist DPPS in securing underutilized existing traditional public school facilities at no or low cost so that DPPS can execute these turnarounds and start-ups. As these schools close or become dramatically under-enrolled, DPPS will work with local districts to site new schools in the vacated space.

It was through cultivating relationships and disseminating news of the success at Harlem Prep that DPPS was invited to apply to acquire and turn around a failing charter school in New Jersey. As stated in Section B: Educationally Disadvantaged Students and Communities, DPPS will acquire and turnaround its first school in Camden, N.J. beginning in the 2012-13 school year. DPPS has cultivated relationships with authorizers and education departments in future expansion regions as well, as the letters of support included in the Other Attachments Form demonstrate.

**5. Management Plan**

DPPS has developed a comprehensive management plan, summarized in Figure 8, to ensure that the proposed project will be completed on time. It is divided into the necessary steps to grow capacity at the CMO level and the steps to grow each new school. The full plan details specific responsibilities, milestones, timelines, and key participants.

Figure 8: Management Plan Table

<b>Task</b>	<b>Milestones</b>	<b>Estimated Complete Date (T = August 15 = School Opening)</b>	<b>Resources</b>	<b>Person Accountable</b>
<b>LEADER U</b>				
<i>Hire LEADER U Coordinator</i>	Create job posting	Complete	Talent, Academics	Jonathan Howard
	Screen candidates	Sep-12	Talent, Academics	Jonathan Howard
	Onboard new hire (payroll, benefits, training)	Oct-12	Operations, Finance, Talent	Jonathan Howard
	Partner with TFA and others	Sep-12	Talent	Seth Andrew
	Design LEADER U website	Dec-12	External Affairs,	LEADER U

	Design formal application process	Nov-12	Talent	Coordinator
	Convene regular meetings with BES staff	Ongoing	Academics, Talent, BES	<i>LEADER U</i> Coordinator
	Plan DPPS residency program	Jan-13	Academics, Talent, BES	<i>LEADER U</i> Coordinator
	Source additional external professional development providers	Mar-13	Whole CMO	<i>LEADER U</i> Coordinator
	At least 4 fellows for following year selected	T-1.5 years	Academics	<i>LEADER U</i> Coordinator
	Fellows begin DPPS residency	T-1 year	Academics, BES, Talent	<i>LEADER U</i> Coordinator
	Graduating fellows assigned schools	T-4 months	Whole CMO	Seth Andrew
			Academics, External Affairs	
<b>CMO Build-Out and Miscellaneous</b>				
<i>Contract with independent evaluator</i>	Identify researcher	Jul-12	Knowledge	Seth Andrew
	Develop research plan and methodology	Aug-12	Knowledge	Seth Andrew
	Sign 5-year contract	Aug-12	Finance	Seth Andrew
<i>Hire additional service team staff yearly according to staffing plan</i>	Create job postings	Complete	Talent	Jonathan Howard
	Screen candidates	As needed	Talent	Jonathan Howard
	75% hired	T-5 months	Talent	Jonathan Howard
	100% on payroll and enrolled in benefits	T-5 months	Talent, Finance, Operations	Linda Jones Easton
<b>Expanded Schools</b>				
<i>Compliance</i>	Pass board resolution to increase enrollment	T-.5	External Affairs	Katie Duffy
	Notify authorizer	T-.5	External Affairs	Katie Duffy
<i>Facilities selection</i>	Secure necessary additional space	T-.5	Family and Community Engagement	Princess Lyles
	Outfit space for classrooms	T-1 month	Operations	Linda Jones Easton
	Coordinate space sharing plan with DOE and stakeholders	T-3 months	Operations	Linda Jones Easton
	Finalize Building Utilization plan	T-3 months	Operations	Linda Jones Easton
	Obtain Certificate of occupancy	T-2 months	Operations	Linda Jones Easton
<i>Satisfy leadership needs</i>	Identify any additional leadership needs	T-.5	Academics	Samona Joe Tait
	Hire additional leadership if applicable	T-3 months	Academics, Finance, Operations	Samona Joe Tait
<i>Hire additional</i>	50% of teachers hired	T-5 months	Talent	School Leader

<i>instructional and non-instructional staff</i>	100% of teachers hired All support staff hired	T-1 months T-.5 months	Talent Talent	School Leader School Leader
<i>Enroll additional students</i>	Estimate recruitment targets	T-8 months	Family and Community Engagement	Princess Lyles
	Canvass community	T-6 months	Family and Community Engagement	Princess Lyles
	Lottery press release	T-5 months	Family and Community Engagement	Princess Lyles
	Lottery event	T-5 months	Family and Community Engagement	Princess Lyles
	Accepted student mailings	T-5 months	Family and Community Engagement	Princess Lyles
	Enrollment meetings	T-4 to T-1 months	School registrars	Princess Lyles
<b>Demanded Schools</b>				
<i>Identify struggling schools to target</i>	Select initial prospects Pursue student transfer and admissions preference plan	T-1.5 years T-6 months	External Affairs External Affairs	Seth Andrew Katie Duffy
<i>Charter compliance</i>	Draft charter agreement or amendment	T-10 months	External Affairs	Katie Duffy
	Charter approved	T-7 months	External Affairs	Katie Duffy
<i>Recruit board of trustees</i>	Identify and recruit founding board members	T-6 months	External Affairs	Katie Duffy
	Grow to full membership	T+2 years	External Affairs	Katie Duffy
<i>Hire school leader</i>	Graduating LEADER U fellow assigned school	T-4 months	Academics, External Affairs	Seth Andrew
	Leader creates individualized school plans	T-4 months	Academics, BES	LEADER U Coordinator
	Board of trustees hires school leader	T-4 months	External Affairs	Katie Duffy
<i>Execute management agreement</i>	Present to board of trustees	T-6 months	External affairs	Katie Duffy
	Agreement signed	T-4 months	External affairs, board of trustees	Katie Duffy
<i>Hire additional instructional and non-instructional staff</i>	50% of teachers hired	T-5 months	Talent	School Leader
	100% of teachers hired, on payroll, and enrolled in benefits	T-1 months	Talent, Finance, Operations	School Leader
	All support staff hired, on payroll, and enrolled in benefits	T-.5 months	Talent, Finance, Operations	School Leader

<i>Enroll students</i>	Estimate recruitment targets	T-8 months	Family and Community Engagement	Princess Lyles
	Canvass community	T-6 months	Family and Community Engagement	Princess Lyles
	Lottery press release	T-5 months	Family and Community Engagement	Princess Lyles
	Lottery event	T-5 months	Family and Community Engagement	Princess Lyles
	Accepted student mailings	T-5 months	Family and Community Engagement	Princess Lyles
	Enrollment meetings	T-4 to T-1 months	School registrars	Princess Lyles
<i>Facilities selection</i>	Secure necessary additional space	T-.5	Family and Community Engagement	Princess Lyles
	Outfit space for classrooms	T-1 month	Operations	Linda Jones Easton
	Coordinate space sharing plan with DOE and stakeholders	T-3 months	Operations	Linda Jones Easton
	Finalize Building Utilization Plan	T-3 months	Operations	Linda Jones Easton
	Certificate of Occupancy	T-2 months	Operations	Linda Jones Easton
<b>Acquired Schools</b>				
<i>Identify charter schools for turnaround</i>	District achievement data analysis	T-1.5 years	Knowledge, External Affairs	Sean Gallagher
	Liaise with school community and leadership	T-9 months	External Affairs, Community Engagement	Sean Gallagher
	Select initial prospects	T-8 months	External Affairs	Sean Gallagher
<i>Charter compliance</i>	Secure formal opportunity from charter authorizer	T-1 to T-6 months	External Affairs	Sean Gallagher
	Draft restructuring plan	T-9 to T-6 months	External Affairs	Sean Gallagher
	Approval of plan	T-8 to T-5 months	External Affairs	Sean Gallagher
<i>DPPS incubation at school to be acquired</i>	Academic and cultural audit	T-10 to T-2 months	Academics	Sean Gallagher
	Staff and leadership evaluations	T-4 months	Academics, Talent	Sean Gallagher
	Facility audit	T-9 months	Operations	Linda Jones Easton
<i>Recruit board</i>	Identify and recruit founding	T-6 months	External Affairs	Katie Duffy

<i>of trustees</i>	board members Grow to full membership	T+2 years	External Affairs	Katie Duffy
<i>Execute management agreement</i>	Present to board of trustees	T-6 months	External affairs	Katie Duffy
	Agreement signed	T-4 months	External affairs, board of trustees	Katie Duffy
<i>Hire school leader</i>	Identify and track top LEADER U Fellow for turnaround school	T-9 months	Academics, Executive Team	Sean Gallagher
	LEADER U turnaround fellow incubates at school	T-5 to T-1 months	Academics	LEADER U Coordinator
	Board of trustees hires school leader	T-4 months	External Affairs	Katie Duffy
<i>Hire additional instructional and non-instructional staff</i>	Evaluate staffing needs	T-4 to T-2 months	Talent, Academics	Jonathan Howard
	50% of teachers hired	T-5 months	Talent	Sean Gallagher
	100% of teachers hired, on payroll, and enrolled in benefits	T-1 months	Talent, Finance, Operations	New School Leader
<i>Family communication</i>	All support staff hired, on payroll, and enrolled in benefits	T-.5 months	Talent, Finance, Operations	New School Leader, Linda Jones Easton
	Inform families of restructuring	T-7 to T-5 months	Family and Community Engagement	Princess Lyles
	Collect intent to return forms	T-6 to T-5 months	Family and Community Engagement	Princess Lyles
	Estimate recruitment targets	T-5 months	Family and Community Engagement	Princess Lyles
	Canvass community	T-6 months	Family and Community Engagement	Princess Lyles
	Lottery press release	T-5 months	Family and Community Engagement	Princess Lyles
	Lottery event	T-5 months	Family and Community Engagement	Princess Lyles
	Accepted student mailings	T-5 months	Family and Community Engagement	Princess Lyles
<i>Facilities selection</i>	Enrollment meetings	T-4 to T-1 months	School registrars	Princess Lyles
	Renegotiate lease (if private space)	T-4 months	Operations	Linda Jones Easton
	Renegotiate space-sharing plan (if public space)	T-3 months	Operations	Linda Jones Easton

	Outfit space for classrooms	T-1 month	Operations	Linda Jones Easton
	Finalize Building Utilization Plan	T-3 months	Operations	Linda Jones Easton
	Certificate of Occupancy	T-2 months	Operations	Linda Jones Easton

**a) School Accountability Plan**

As stated previously, DPPS will evaluate the academic, operational and fiscal performance of its schools using the *balanced scorecard*, included in the Other Attachments Form. DPPS will reallocate resources to a struggling DPPS school for a fixed period of up to three years depending on the magnitude of the issues. Intervention strategies mirror those DPPS uses to turn around other failing charter schools, including replacing the school leader with a proven leader, replacing a large number of staff, and flooding the school with extra staff familiar with the DPPS model. Should these interventions fail, DPPS will work with its authorizer to find the least disruptive way to cease operation of the school, rather than simply ceasing the CMO relationship with the school and allowing it to continue to ill-serve students until it comes up for charter renewal.

**E. Evaluation Plan**

DPPS is committed to contracting with an external evaluator to perform an independent quantitative and qualitative analysis and to widely disseminating its best practices and results.

**1. Independent Evaluation**

DPPS’s schools will contract with an external, independent evaluator to design and conduct a quasi-experimental study of the impact of all DPPS schools on student achievement and on the narrowing of achievement gaps. Evaluation methods will mirror those used in the EdLabs study of DPCM previously discussed in Section A. More specifically, the study will compare the state test scores of “lotteried-in” students with those of “lotteried-out” students to obtain an unbiased estimate of the causal effect of being offered a seat in a DPPS school on student achievement. Because not all students offered a seat in DPPS choose to enroll, the evaluation will also use instrumental variable techniques to estimate the

effect of actually attending DPPS. Both approaches will incorporate information on students' observed background characteristics in order to increase the precision of its estimates and therefore the power of the evaluation to identify statistically significant treatment effects.

While estimates of DPPS's effect are already statistically significant, as DPPS grows each year, it anticipates sample sizes that will give us sufficient statistical power to detect effects that approximate what other charter school evaluations have found (e.g. Hoxby 2009) among student subgroups of interest. In addition to estimating the effect of DPPS attendance on the average student, the evaluation will also disaggregate its results by race, socioeconomic background, gender, age relative to grade, and number of parents in the home in order to identify subgroups of students for which the DPPS model is more or less effective. These analyses will inform DPPS efforts to improve its model, as well as provide information for replication by programs across the nation.

While all DPPS schools must share the core practices of DPPS—extended learning time, rigorous academics, commitment to data, a culture of high expectations, and highly selective hiring practices—an important part of the DPPS growth model is affording school leaders flexibility to run their own schools. This variation will be useful both in creating healthy competitive pressures within the DPPS network and in identifying which practices are most vital to DPPS success. As part of its study, the independent evaluator will conduct qualitative surveys of each DPPS school to identify similarities and differences between the schools. A finding that certain schools are particularly effective in raising student achievement, this would suggest that their distinctive practices should be replicated elsewhere by DPPS, other CMOs, and school districts. Significantly, evidence on the importance of specific school characteristics will be non-experimental in nature, as students will not be randomly assigned to schools with varying characteristics. Even so, we expect this evidence to be useful in informing the further refinement of the DPPS model and replication by other school leaders.

DPPS has a well-established relationship with Harvard University's Education Laboratories, headed by Dr. Roland Fryer, a leading education economist. DPPS has included in this application a letter of

support from Dr. Fryer indicating his willingness to work with DPPS to conduct an evaluation of this project in line with the design outlined above.

## **2. Dissemination Plan**

DPPS will seek to actively disseminate all lessons learned and results obtained through the proposed CSP supported project through a variety of mechanisms including

- Publishing all data related to the project and its demonstrated effectiveness in a highly-accessible final report; creating and widely distributing an annual program evaluation; and actively sharing interim data about program design;
- Releasing the evaluation model and a best practices manual;
- Presenting at national and local charter school conferences, such as the National Alliance for Public Charter Schools Conference and the New York Charter Schools Association Conference, and to traditional public school audiences;
- Encouraging school visits by interested stakeholders to enable them to observe the DPPS model in action.

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## **A. Student Academic Achievement**

### **1. Middle School Record**

DPPS students are at high risk for academic failure. At DPPS's middle schools, more than 80% are eligible for free or reduced lunch, and 99% are African-American or Latino.<sup>1</sup> Consequently, at least 99% of DPPS's middle school students are members of subgroups identified in Section 1111(b)(2)(C)(v)(II) of the ESEA, and 88% are classified as "educationally disadvantaged." Additionally, due to DPPS's unique focus on special education, at least 23% enter DPPS schools with identified special needs each year, and 12% enter as English learners, levels that exceed the sending district every year.<sup>2</sup> The average student entering a DPPS school in 6th grade performs on a 3rd grade level in English and math and fully 91% of DPPS's sixth graders entered in 2010 below grade level as assessed by the MAP exam.<sup>3</sup>

One of the most common criticisms of public charter schools across the nation is that they "cream" or "skim" the best students from traditional district schools. DPPS demonstrates unequivocally the falsity of this allegation by enrolling a student population that, by any measure—whether parent motivation, behavior, low-income, special education status, English proficiency status, or past academic performance—contains a disproportionately high number of at-risk students. The recent evaluation of Democracy Prep Charter Middle School (DPCM)—DPPS's full-growth middle school—by Dr. Roland Fryer and Will Dobbie of the Education Innovation Laboratory at Harvard University (Ed Labs), found that "Democracy Prep lottery winners also score 0.297 standard deviations below the typical [NYC public school] student in fifth grade math, and 0.135 standard deviations below in fifth grade English. To put this into perspective, the typical NYC middle or high school charter applicant scores 0.009 standard

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<sup>1</sup> As reported by NYC-DOE's ATS & ARIS system.

<sup>2</sup> Ibid.

<sup>3</sup> The MAP (Measures of Academic Progress) is a nationally-normed assessment administered by Democracy Prep to inform classroom instruction by helping teachers to know a students' level of achievement.

deviations below the typical traditional public school student in fifth grade math and 0.003 in English (Hoxby and Muraka 2009). The typical middle school applicant in Boston starts 0.173 standard deviations higher in fourth grade math and 0.277 higher in reading than the typical student (Abdulkadiroglu et al. 2011). This suggests that, at least compared to many other urban charter schools, [DPPS] is not ‘cream-skimming’ the best students from traditional public schools....[The] lottery is balanced and selection bias should not unduly affect our analysis.”

Despite the challenges posed by its student body, DPPS middle schools (a) vastly outperform their sending district, for all types of students, (b) achieve results for low-income and educationally disadvantaged students significantly above the average statewide, (c) have reversed, closed, or nearly closed historic achievement gaps for all relevant subgroups in some subjects, and (d) outperform other high-performing NYC charter school networks, both in improving student achievement and in ensuring high levels of parent, student, and teacher satisfaction.

***a) For the past five years, Democracy Prep has consistently and substantially outperformed its sending district.***

Figure 1 and Figure 2 show DPCM’s strong effect on student achievement in math and English as compared to the Central Harlem sending district (Community School District 5 [CSD5]) over the past five years.

Figure 1: NYS Math Exam, Grades 6-8, Past Five Years: DPCM vs. CSD5 <sup>4,5</sup>

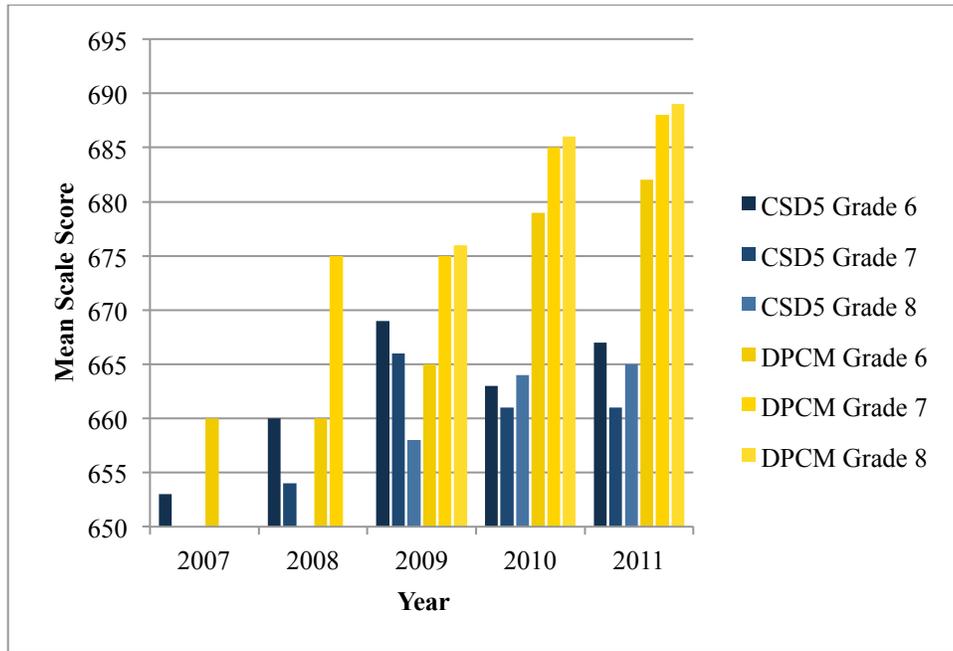
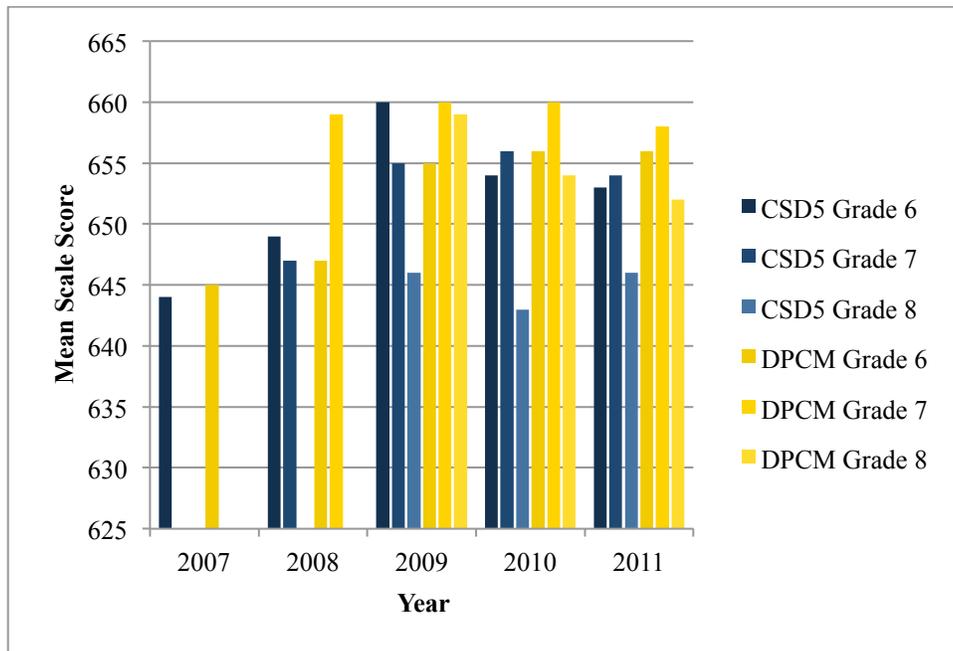


Figure 2: NYS English Exam, Grades 6-8, Past Five Years: DPCM vs. CSD5 <sup>6</sup>



<sup>4</sup> New York State Education Department School Report Card Data. <https://reportcards.nysed.gov>.

<sup>5</sup> For all comparisons, DPPS uses mean scale score. Because the state changed the proficiency cutoff in 2010, it is impossible to make longitudinal comparisons using proficiency.

<sup>6</sup> New York State Education Department School Report Card Data.

Even in its first year, Democracy Prep Harlem Charter School (DPH), a replication of DPCM, also outperformed the district. DPH even outperformed DPCM in math by 1 point and in ELA by 8 points.

Together, these figures demonstrate that while DPPS middle school students often enter 6<sup>th</sup> grade lagging well behind grade level, they make exceptional achievement gains that surpass the district after just one year in a DPPS school. The cases in which the district outperformed DPCM occurred only at the sixth grade level, and these gaps were more than erased in following years with the same cohorts. Moreover, in math, district students tend to lose ground for each additional year they attend a CSD5 traditional public school. DPCM students, on the other hand, continue to grow considerably year after year.

***b) Democracy Prep achieves results for low-income and other educationally disadvantaged students significantly above the statewide average.***

Figure 3 and Figure 4 show that low-income students at DPCM outperform their peers statewide in math and English by the time they reach 8<sup>th</sup> grade, if not sooner.

Figure 3: State English Exam, Grades 6-8, Past Three Years: DPCM vs. NYS, by Economically Disadvantaged Status

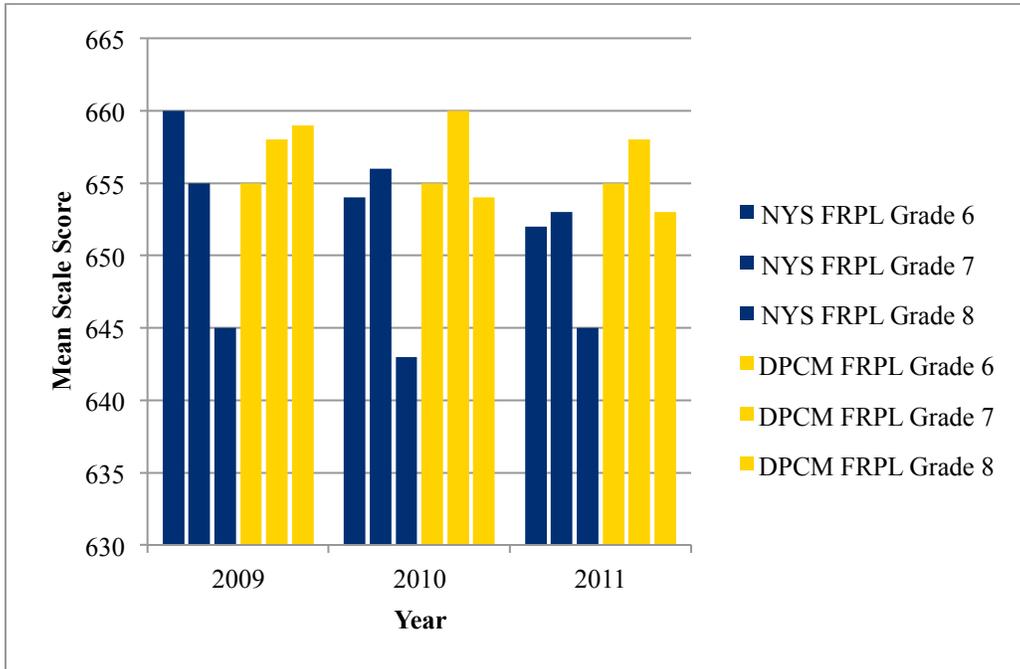
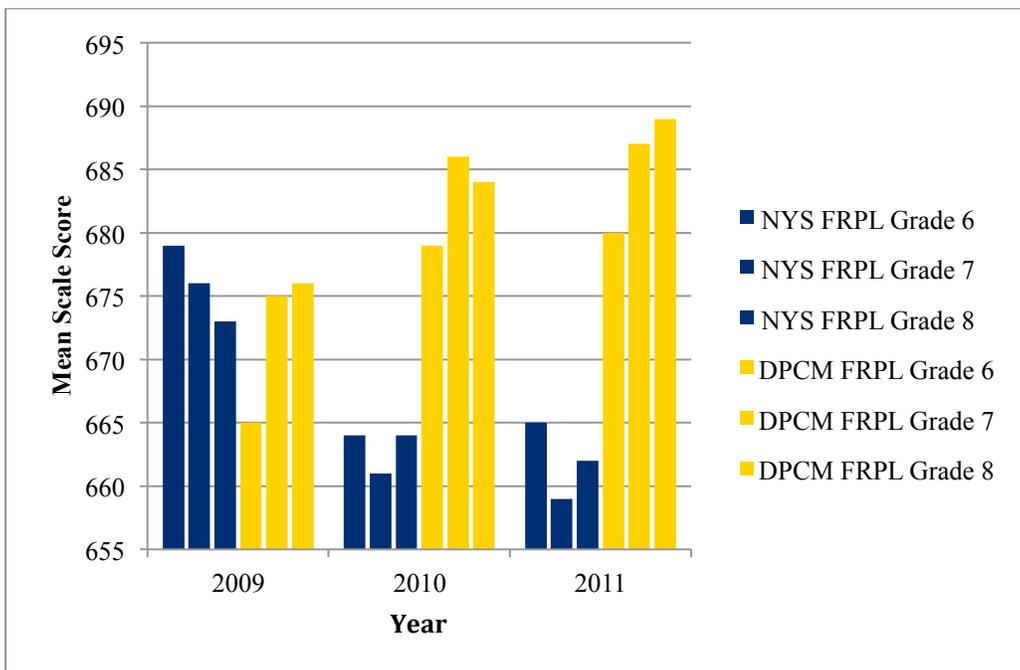


Figure 4: State Math Exam, Grades 6-8, Past Three Years: DPCM vs. NYS, by Economically Disadvantaged Status<sup>7</sup>



<sup>7</sup> Ibid.

Figure 5 and Figure 6 show that Black and Latino students at DPCM outperform their peers statewide in math and English by the time they reach 8<sup>th</sup> grade, if not sooner.

Figure 5: State English Exam, Grades 6-8, Past Three Years: DPCM vs. NYS

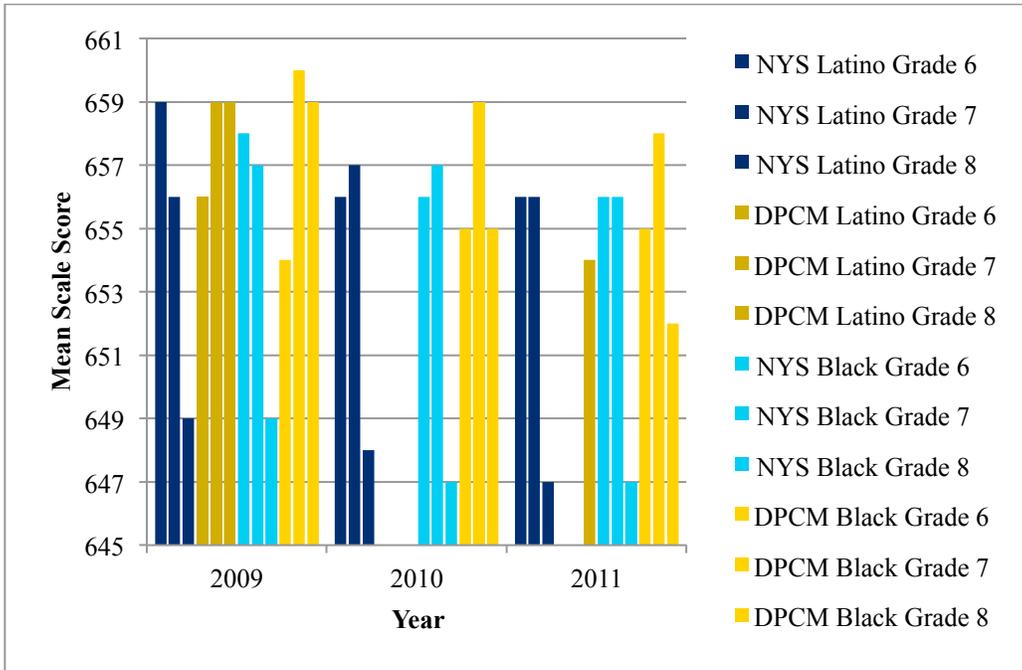
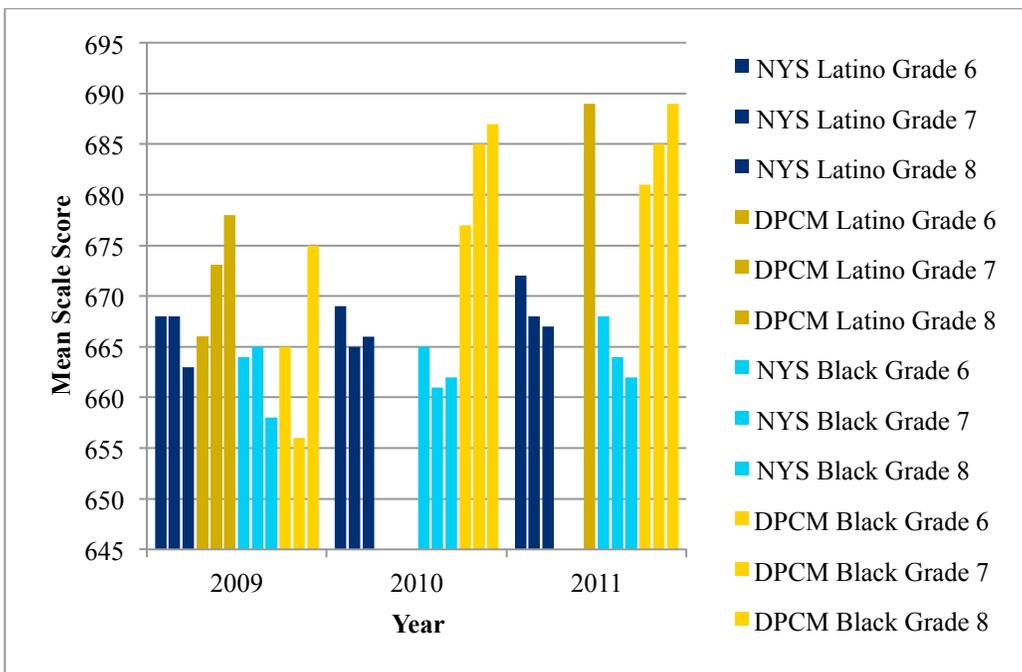


Figure 6: State Math Exam, Grades 6-8, Past Three Years, DPCM vs. NYS<sup>8</sup>



<sup>8</sup> Ibid.

Figure 7 and Figure 8 indicate that DPCM’s special education students also outperform their peers across the state in math and ELA.

Figure 7: State Math Exam, Grades 6-8, Past Three Years: DPCM vs. NYS, Special Education

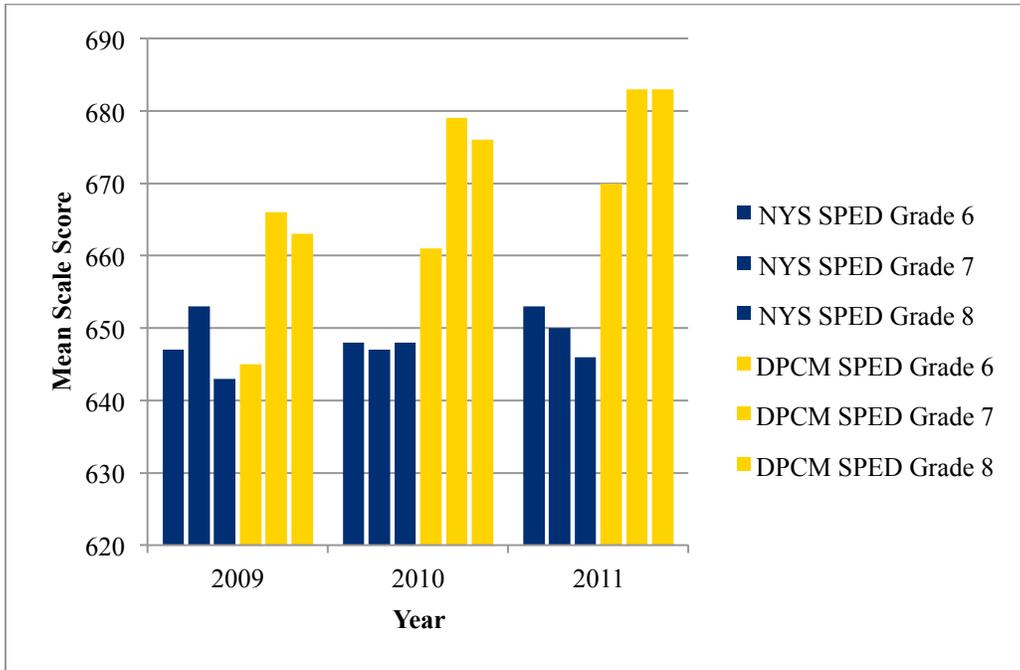
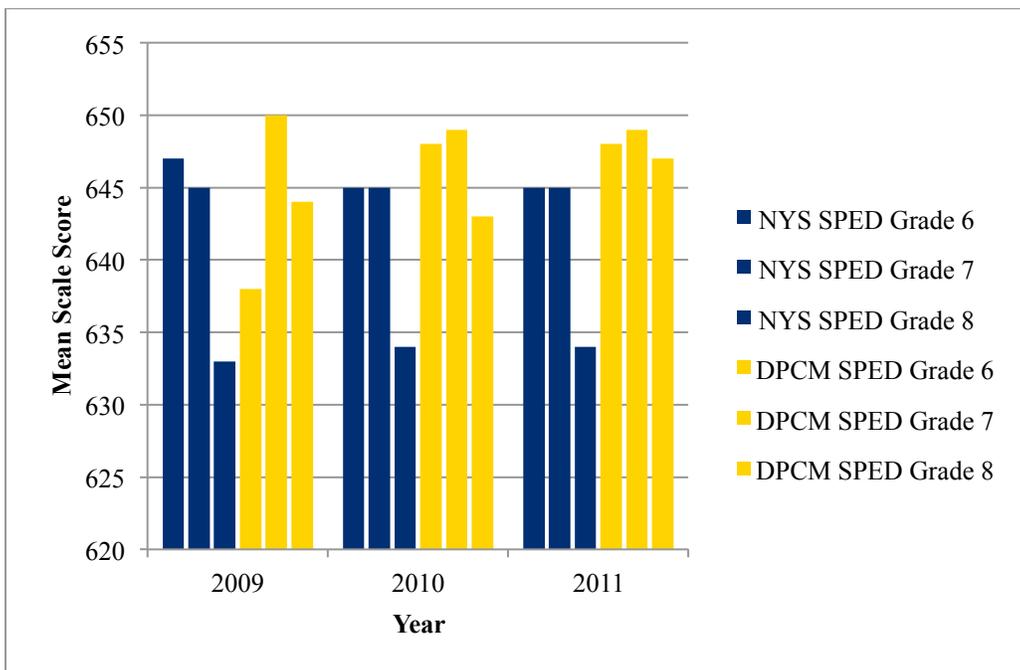


Figure 8: State English Exam, Grades 6-8, Past Three Years: DPCM vs. NYS, Special Education<sup>9</sup>

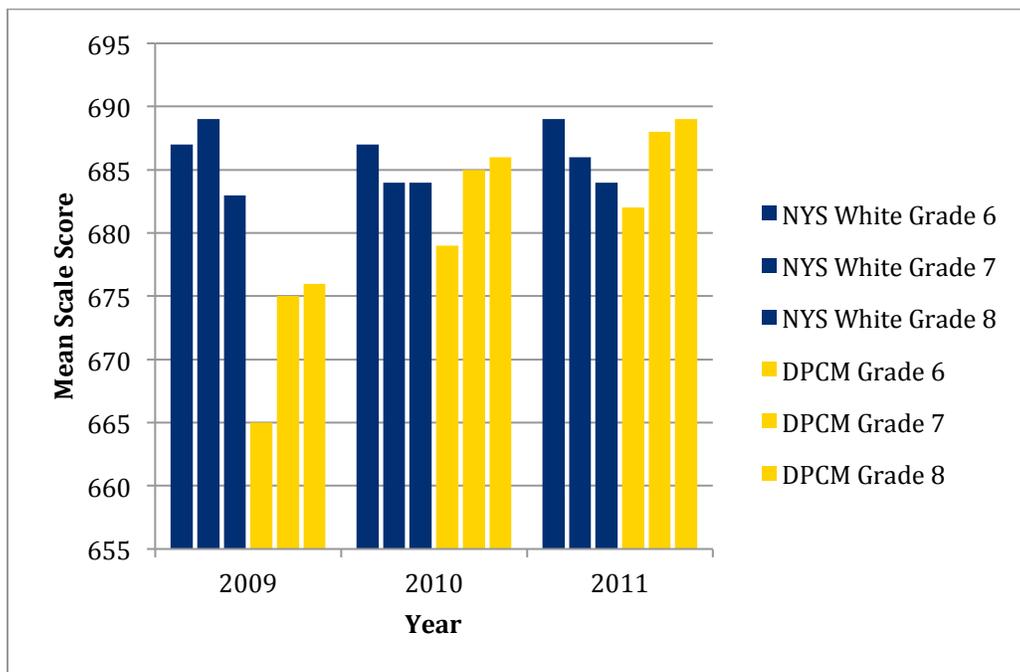


<sup>9</sup> Ibid.

*c) Democracy Prep has reversed, closed, or nearly closed historic achievement gaps for relevant subgroups.*

DPCM students significantly outperform the standard achievement effect for New York City charters,<sup>10</sup> estimated by economist Caroline Hoxby, reversing the “Harlem-Scarsdale Achievement Gap” in math and nearly closing it in ELA.<sup>11</sup> Figure 9 shows that DPCM students improve at a more rapid rate than do white students across the state in math. By 8<sup>th</sup> grade, DPCM students (99% minority) outperform their white counterparts from New York State public schools.

Figure 9: State Math Exam, Grades 6-8, Past Three Years, DPCM vs. NYS White Students<sup>12</sup>



The Fryer Study suggests that DPPS equalizes achievement gaps within its walls. Fryer’s analysis concluded that the “effect of attending DPCM does not appear to systematically vary by gender, ethnicity, or free or reduced price lunch eligibility.”<sup>13</sup> Further, Fryer found that DPCM “students with lower fifth grade tests scores do seem to gain slightly more in both math and ELA

<sup>10</sup> Hoxby et al, 2009. Hoxby estimated the effect of the average New York City charter school to be 0.09 standard deviations in math and 0.06 standard deviations in ELA per year.

<sup>11</sup> Ibid.

<sup>12</sup> New York State Education Department School Report Card Data.

<sup>13</sup> EdLabs, 2012.

than students with higher fifth grade test scores.”<sup>14</sup> This outcome demonstrates that DPCM is equally effective for all sub-groups and perhaps most effective for those students furthest behind.

***d) Democracy Prep outperforms other high-performing NYC charter school networks.***

Caroline Hoxby’s study found, “on average, a student who attends a charter school from grades K-8 closes about 86% of the ‘Scarsdale-Harlem’ achievement gap in math and 66% of the gap in English.”<sup>15</sup> Moreover, the Chancellor’s Progress Report,<sup>16</sup> which is used by the New York City Department of Education to make comparative assessments for all 1,500 city schools, ranked DPCM the number one public middle school in New York City in 2010.<sup>17</sup> Figure 10 shows DPCM’s Progress Report score compared to other top charter management organizations operating schools in NYC. These high scores, which were largely due to high value-added gains in English and math, further distinguish DPCM as a stand-out within the Hoxby sample set.

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<sup>14</sup> Fryer, 2010.

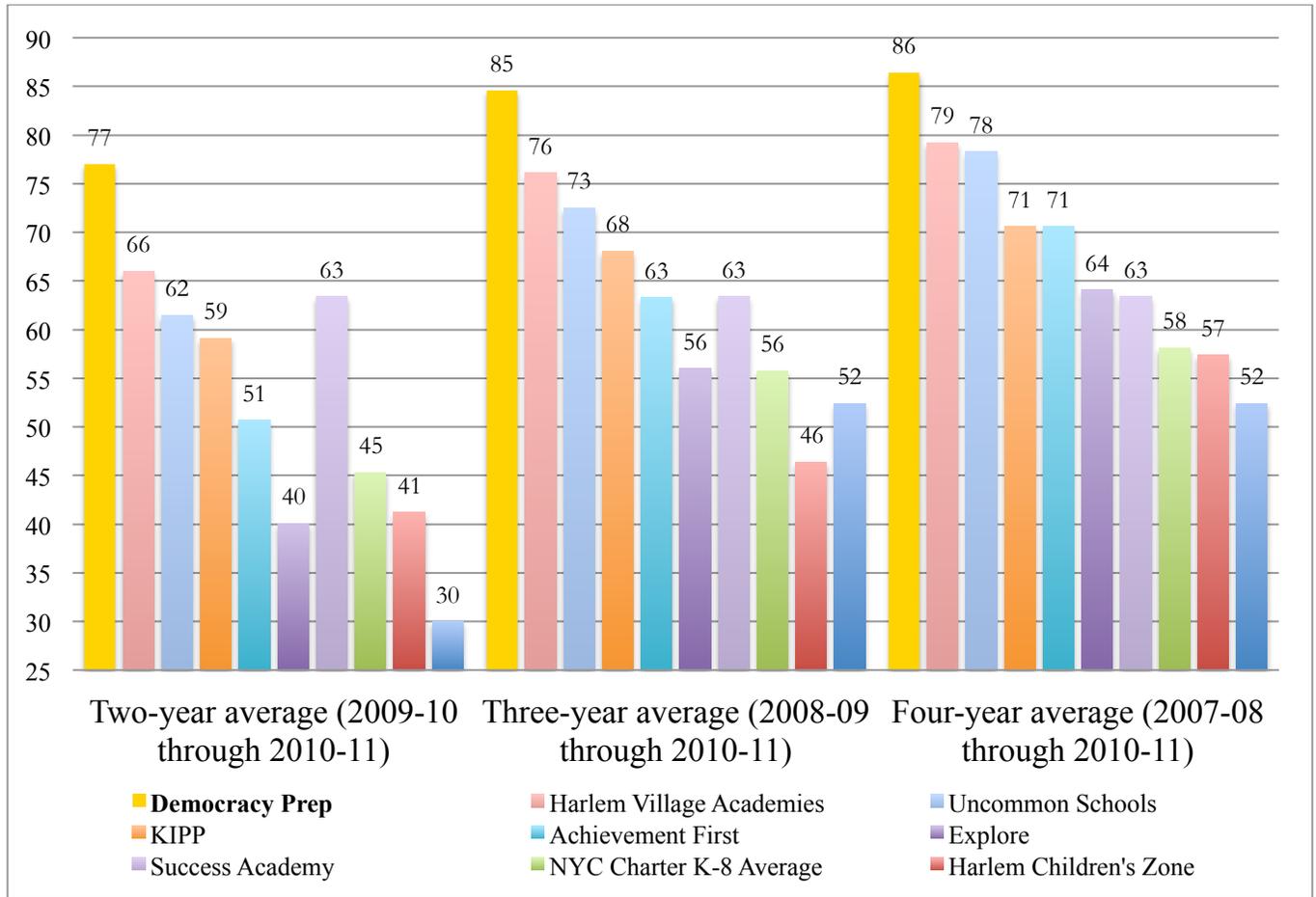
<sup>15</sup> Hoxby et al, 2009.

<sup>16</sup> The Chancellor’s Progress Report, published by NYC-DOE, is graded on an A-F scale and with an assigned numerical score between 1 and 100. It aggregates performance on state tests, attendance, the Schools Survey (a measure of student, family, and teacher satisfaction), and performance on both assessments against a “peer-group” of similarly performing schools, and then adds or subtracts value based on schools’ demographics.

<http://schools.nyc.gov/Accountability/tools/survey/default.htm>.

<sup>17</sup> NYC Chancellor’s Progress Report Results.

Figure 10: Average Chancellor’s Progress Report Scores, DPCM vs. Top NYC CMOs<sup>18</sup>



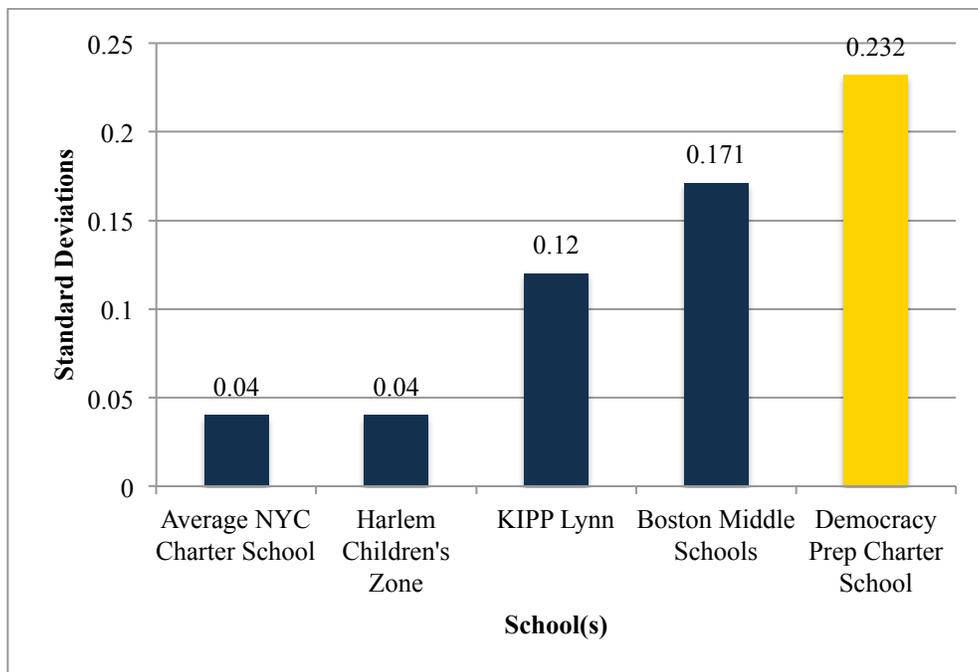
Dr. Fryer’s study further confirms that DPCM’s effect on achievement is higher than that of its peer traditional or charter public schools. Dr. Fryer’s study followed a similar design as the Hoxby study, linking test scores and lottery data to evaluate the impact of DPCM on its students’ academic achievement and to ensure a high degree of external validity.<sup>19</sup> Using a two-stage least squares regression, Dr. Fryer discerned an “enormous” effect of attending DPCM on student achievement. The study found that “students gain 0.238 (se = 0.108) standard deviations in math and 0.232 (se = 0.121) standard deviations in English for each year they are enrolled at Democracy

<sup>18</sup> Ibid.

<sup>19</sup> Harvard EdLabs, 2012.

Prep.”<sup>20</sup> The effect on English achievement is the highest ever reported for a charter school, using rigorous lottery-based methodology; DPCM’s math effect is nearly three times that of the average charter school in the Hoxby study and markedly larger than those in other similarly designed studies of charter schools. Figure 11 shows DPCM’s the ELA results surpassed those measured by Hoxby and similarly designed evaluations conducted in Boston, Harlem, and Lynn, Massachusetts.<sup>21</sup>

Figure 11: Estimated Impact on English Achievement: DPCM vs. Comparison Groups



In sum, the data, from state test scores and experimental evaluations, shows that DPCM outperforms its sending district for all types of students, achieves results for low-income and minority students that far surpass the statewide average, has reversed or nearly closed historic

<sup>20</sup> Ibid.

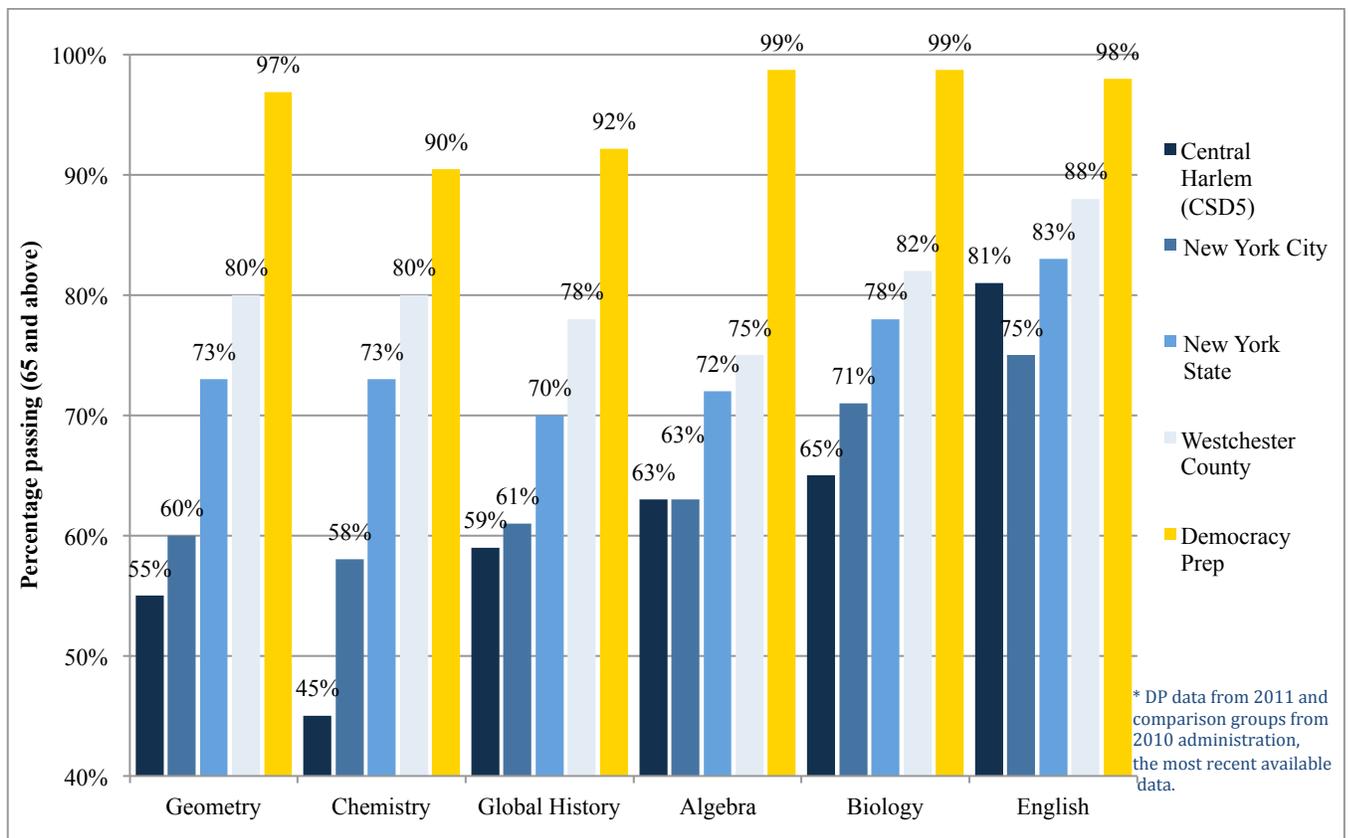
<sup>21</sup> Abdulkadiroglu, Atila, Joshua Angrist, Sarah Cohodes, Susan Dynarski, Jon Fullerton, Thomas Kane and Parag Pathak, (2009) “Accountability and Flexibility in Public Schools: Evidence from Boston's Charters and Pilots.” NBER Working Paper No. 15549. *See also* Angrist, Joshua D., Susan M. Dynarski, Thomas J. Kane, Parag A. Pathak, and Christopher R. Walters, (2009) “Who Benefits from KIPP?” NBER Working Paper No. 15740; *and* Roland Fryer and Will Dobbie, (2009) “Are High Quality Schools Enough to Close the Achievement Gap?” NBER Working Paper No. 15473.

achievement gaps for relevant subgroups, and eclipses even the top high-performing charter management organizations in improving student achievement.

**2. Democracy Prep’s High School Track Record of Performance**

Democracy Prep Charter High School (DPCH), still one year away from producing its first graduating class, also vastly outperforms comparison groups across the state on Regents Exams (Figure 12).

Figure 12: New York State Regents Exams Results, 2010-12: DPCH vs. Comparison Groups<sup>22</sup>



Attendance rates at DPCH have met or exceeded DPPS’s target of 95% every year since its founding. Further, data from 2012 show that attendance rates to date across the entire DPPS network of schools do not vary by subgroup. See the Other Attachments Form for an attendance data table.

<sup>22</sup> DPPS data from 2011 and comparison groups from 2010 administration, the most recent data available.

### 3. Democracy Prep's Elementary-Level Record of Performance

DPPS operated an elementary school in Rhode Island called Democracy Prep Blackstone Valley (DPBV) for one year (2009-10). SUNY's Charter School Institute, recognized by the United States Department of Education (USDOE) as a national exemplar of innovation and excellence,<sup>23</sup> relied on data from DPBV when approving DPPS's application to turn the failing elementary charter school, Harlem Day, into Harlem Prep. These data are presented later in the Other Attachments Form.

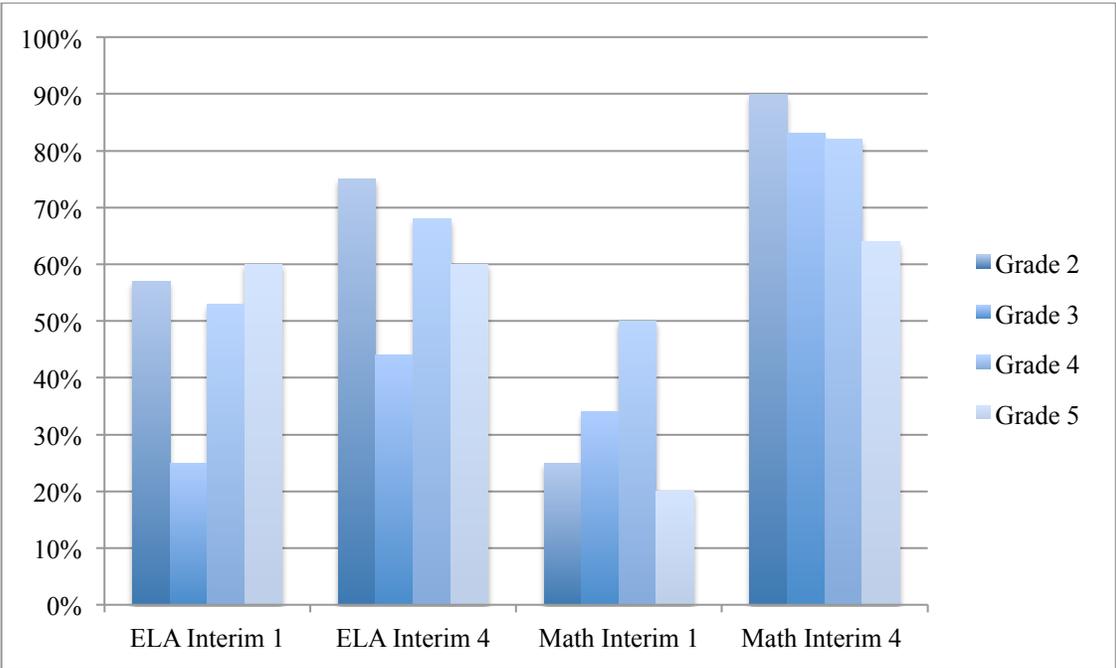
After only seven months, Harlem Prep proves that school turnaround is not just an education reform experiment. Early growth data from DPPS's nationally normed and internally developed assessments show that Harlem Prep's scholars are making significant growth and are now on the path to college. Just three months into the school year, data from the nationally normed STEP Reading Assessment showed 37% of Harlem Prep's scholars exceeding first trimester growth goals. Moreover, as evidenced by performance on recent Achievement Network (ANet)<sup>24</sup> interim assessments, Harlem Prep students have made remarkable progress in both English Language Arts and Mathematics over a condensed period of time. Figure 13 depicts the percentage of Harlem Prep students who tested at proficient levels (60% or higher) in English and Math on ANet interim assessments administered in September 2011 and March 2012.

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<sup>23</sup> In May 2010, the USDOE released a series of documents outlining the "Research Behind the Obama Administration's Proposal for Reauthorizing the Elementary and Secondary Education Act (ESEA)." Its document, entitled "Fostering Innovation and Excellence," features SUNY's processes for review of new charter school applications, ongoing oversight and evaluation, and charter renewal and also notes SUNY's willingness to hold schools accountable and close underperforming schools.

<sup>24</sup> Founded in 2005, ANet is designed provide schools effective data-driven strategies to identify and close gaps in student learning and embed those strategies into schools' everyday routines. In 2011-12, ANet worked with 252 schools, over 68,000 students, and 2,900 teachers in eight geographic areas.

Figure 13: Harlem Prep's Massive Transformation Underway: Anet Interim Assessment Scores<sup>25</sup>



**4. All Middle School Test Scores, Since DPPS Founding**

<sup>25</sup> Internal DPPS data.

Figure 14: DPCM, DPHM, CSD5 State Math Test Scores, All Time

Grade	All Students	Black or African American	Economically Disadvantaged	Female	General Education	Hispanic or Latino	Limited English Proficient	Male	Not Economically Disadvantaged	Students with Disabilities
<b>CENTRAL HARLEM PUBLIC SCHOOLS (CSD5)</b>										
<b>2008</b>										
6	660	655	661	663	667	663	648	657	656	634
7	654	653	654	659	662	656	636	650	655	629
8	646	642	645	650	652	651	634	642	649	622
<b>2009</b>										
6	669	665	670	671	677	673	656	669	663	643
7	666	661	667	668	672	670	650	665	660	646
8	658	657	658	663	664	659	645	654	660	635
<b>2010</b>										
6	663	659	664	665	671	666	645	661	656	637
7		658	661		667	663	646		664	642
8	664	661	664	667	670	666	649	661	664	642
<b>2011</b>										
6	667	662	665	668	673	669	651	665	685	648
7	662	659	659	663	666	662	641	661	679	644
8	665	662	662	667	672	667	649	664	680	637
<b>DEMOCRACY PREP CHARTER MIDDLE SCHOOL (DPCM)</b>										
<b>2008</b>										
6	660	663	661	664	663			657	659	641
7	675	673	674	677	677			672	675	658
<b>2009</b>										
6	665	665	665	667	670	666		663	663	645
7	675	676	675	674	676	673		676	677	
8	676	675	676	677	678	678		675	675	663
<b>2010</b>										
6	681	677	679	680	686		674	682	689	661
7	685	685	686	686	686			685	682	
8	686	687	684	685	687			687	691	
<b>2011</b>										
6	682	681	680	684	685		674	680	691	670
7	688	685	687	688	688			687	690	683
8	689	689	689	689	690	689		690	690	683
<b>DEMOCRACY PREP HARLEM MIDDLE SCHOOL</b>										
<b>2011</b>										
6	683	684	683	681	686			685	683	672

Figure 15: DPCM, DPHM, CSD5 English Test Scores, All Time

Grade	All Students	Black or African American	Economically Disadvantaged	Female	General Education	Hispanic or Latino	Limited English Proficient	Male	Not Economically Disadvantaged	Students with Disabilities
<b>CENTRAL HARLEM PUBLIC SCHOOLS (CSD5)</b>										
<b>2008</b>										
6	649	647	650	653	654	650	636	647	648	633
7	647	648	647	653	654	647	625	642	649	627
8	638	638	637	645	644	639	610	632	643	615
<b>2009</b>										
6	660	658	660	662	664	660	645	658	660	646
7	655	653	655	658	659	656	638	653	654	640
8	646	646	645	651	650	645	622	641	651	630
<b>2010</b>										
6	654	653	654	656	657	654	641	652	654	643
7	656	654	656	659	660	655	639	653	658	641
8	643	642	643	648	648	643	619	640	648	627
<b>2011</b>										
6	653	651	652	656	657	654	641	651	664	641
7	654	653	653	656	658	654	639	652	664	642
8	646	645	645	650	651	646	630	643	657	630
<b>DEMOCRACY PREP CHARTER MIDDLE SCHOOL (DPCM)</b>										
<b>2008</b>										
6	647	647	648	651	650		644	644		630
7	659	659	659	661	661		656	659		645
<b>2009</b>										
6	655	654	655	659	659	656	650	655		638
7	660	660	658	660	661	659	660	666		
8	659	659	659	661	661	659	656	658		644
<b>2010</b>										
6	656	655	655	659	658		647	653	661	648
7	660	659	660	662	661		657	656		
8	654	655	654	655	655		653	653		
<b>2011</b>										
6	656	655	655	656	658		648	655	661	648
7	658	658	658	660	659		654	658		649
8	652	652	653	655	653	654	650	650		647
<b>DEMOCRACY PREP HARLEM MIDDLE SCHOOL</b>										
<b>2011</b>										
6	660	660	660	660	662		660	661		653

**5. Attendance and Retention Data**

DPPS has had outstanding attendance rates at all of its schools for the past three years, as illustrated in Figure 16. Additionally, Figure 17 presents attendance data for this year,

disaggregated by subgroup, and indicates that there are no substantial gaps based on these classifications.

Figure 16: Attendance Data, Past Three Years

		2009	2010	2011
Democracy Prep Charter Middle School	Attendance	96%	96%	95%
	Retention	89%	96%	97%
Democracy Prep Charter High School	Attendance		95%	95%
	Retention*		96%	97%
Democracy Prep Harlem Charter Middle School	Attendance			96%
	Retention			N/A

\*New York State Education Department reports retention as "stability rates" as the percent of students in the highest grade that were enrolled in the previous year. Retention for Democracy Prep Charter High and Middle are reported together

Figure 17: Attendance in 2012 to Date, All DPPS Schools, by Subgroup

School	Subgroup	Attendance Rate
<b>DPOCH</b>	Gen Ed	96%
<b>DPOCH</b>	ELL	96%
<b>DPOCH</b>	FRPL	96%
<b>DPOCH</b>	American Indian/Alaskan	96%
<b>DPOCH</b>	Black	96%
<b>DPOCH</b>	Multiracial	95%
<b>DPOCH</b>	White	95%
<b>DPOCH</b>	IEP	95%
<b>DPOCH</b>	Hispanic	95%
<b>DPCM</b>	ELL	98%
<b>DPCM</b>	FRPL	97%
<b>DPCM</b>	American Indian/Alaskan	97%
<b>DPCM</b>	Asian	100%
<b>DPCM</b>	Black	97%
<b>DPCM</b>	White	96%
<b>DPCM</b>	IEP	96%

<b>DPCM</b>	Hispanic	96%
<b>DPCM</b>	Gen Ed	96%
<b>DPHM</b>	ELL	100%
<b>DPHM</b>	FRPL	96%
<b>DPHM</b>	American Indian/Alaskan	97%
<b>DPHM</b>	Asian	99%
<b>DPHM</b>	Black	96%
<b>DPHM</b>	Hawaiian/Pacific Islander	90%
<b>DPHM</b>	White	94%
<b>DPHM</b>	Hispanic	96%
<b>DPHM</b>	IEP	95%
<b>DPHM</b>	Gen Ed	96%
<b>HPE</b>	ELL	97%
<b>HPE</b>	FRPL	97%
<b>HPE</b>	American Indian/Alaskan	98%
<b>HPE</b>	Black	97%
<b>HPE</b>	Hawaiian/Pacific Islander	95%
<b>HPE</b>	Multiracial	96%
<b>HPE</b>	White	95%
<b>HPE</b>	Hispanic	97%
<b>HPE</b>	IEP	97%
<b>HPE</b>	Gen Ed	97%

## 6. Democracy Prep Blackstone Valley Elementary (DPBV)

DPBV's inaugural class consisted of 76 kindergarten students. By Rhode Island law, DPBV was required accept from the four surrounding towns, half of which are urban—Central Falls and Pawtucket—and half of which are suburban—Lincoln and Cumberland. With this geographic diversity, in 2009-2010, 67% of DPBV students qualified for free or reduced price lunch<sup>26</sup> and 82% scored below or at a basic literacy level on incoming STEP assessments.<sup>27</sup> This diversity allows DPPS to prove that our model is successful with any demographic sub-group.

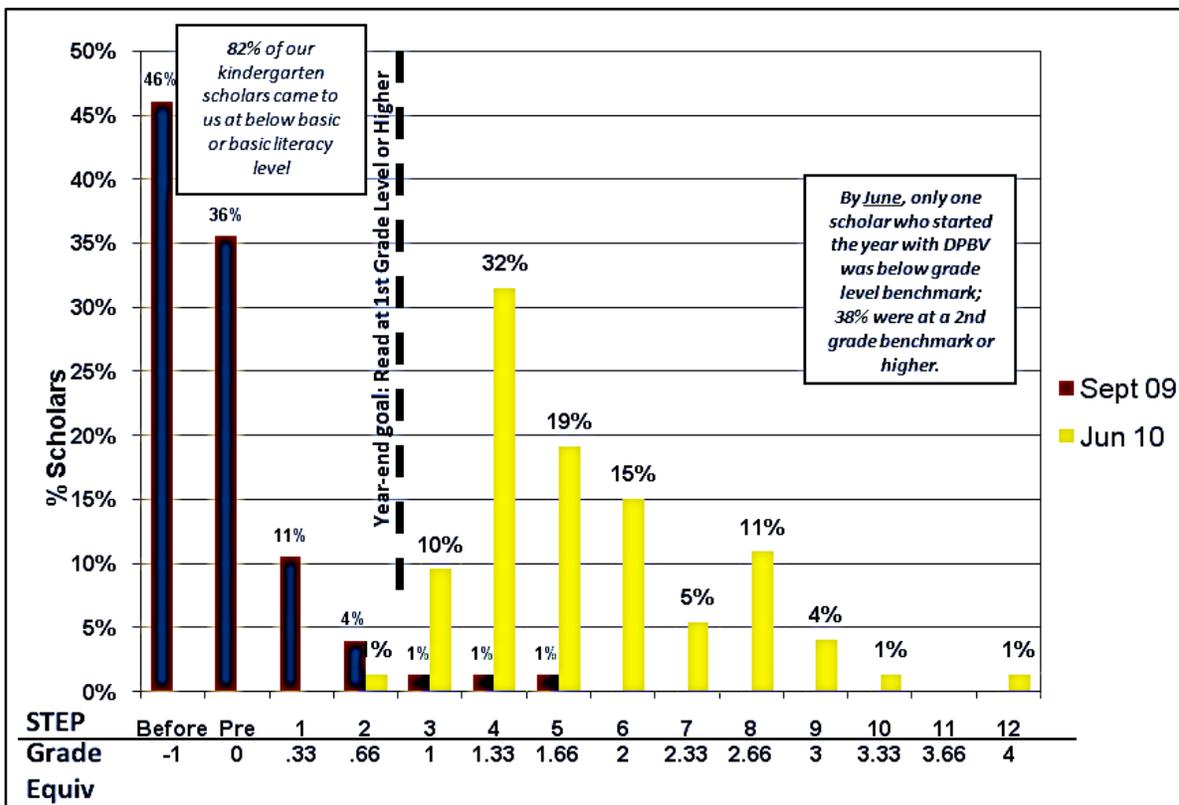
<sup>26</sup> According to internal data collected by Democracy Prep Blackstone Valley.

<sup>27</sup> STEP™ (Strategic Teaching and Evaluation of Progress) is a nationally-normed, developmental literacy assessment for Grades PreK-3 designed by the University of Chicago that includes a set of tools, tightly aligned with scientifically established milestones in reading development, to follow the progress of pre-kindergarten through third grade students.

In their first year, DPBV students made tremendous literacy and math gains. The results of the year-end STEP analysis of the 73 scholars who completed the year and attended DPBV for at least 6 weeks is summarized in Figure 18.

All but one scholar who attended for at least 6 weeks achieved a STEP level of 3, the year-end benchmark for beginning the first grade (that student later achieved STEP 3 during DPBV’s Summer Academy). Further, 38% of students ended kindergarten at a 2<sup>nd</sup> grade level or higher. Typically, 3 STEP levels is equivalent to a year of growth. However, at DPBV the average STEP growth was 5.6 levels—that is nearly two years of growth in one year across a diverse and disadvantaged population.

Figure 18: DPBV Literacy Growth, September to June, 2010<sup>28</sup>



<sup>28</sup> STEP™ (Strategic Teaching and Evaluation of Progress) Assessment Data collected internally by Democracy Prep Blackstone Valley, 2009-10.

While some small gaps between academically disadvantaged students and non-academically disadvantaged students persisted, the high average level of growth meant that even DPBV's economically disadvantaged students significantly outperformed the national average. Figure 19 shows that literacy gains made by economically disadvantaged students at DPBV approach the levels of growth of their non-disadvantaged peers and far outperformed the national average.

Figure 19: DPBV Literacy Growth, 2010: DPBV FRPL vs. National Average<sup>29</sup>

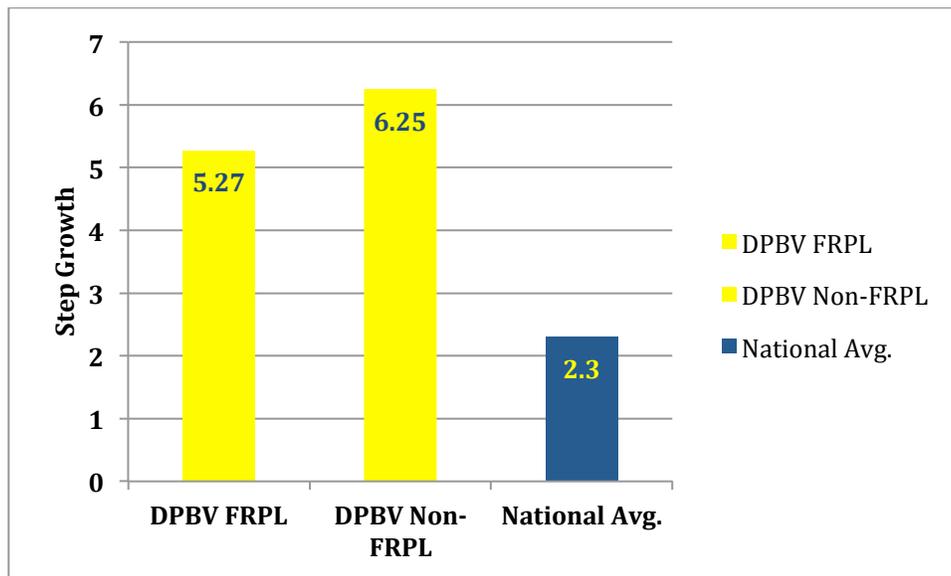


Figure 20 shows a similar picture for minority students—black and Latino students at DPBV far outperformed the national growth average and nearly closed the growth gap between their scores and those of white students.

DPBV used the STEP assessment as its internal formative and summative assessment to track literacy progress on an interim basis, but the state of Rhode Island also requires the Developmental Reading Assessment (DRA). Despite being an unfamiliar testing format for the DPBV scholars, their end-of-year results, shown in Figure 21, were similarly impressive, as the vast majority of students scored significantly at or above grade level.

<sup>29</sup> STEP™ 2009-2010

Figure 20: DPBV Literacy Growth, 2010: DPBV Racial Subgroups vs. National Average<sup>30</sup>

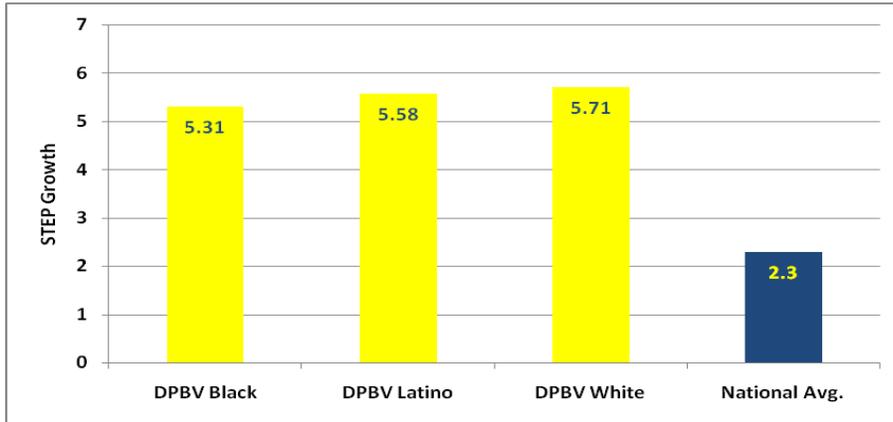
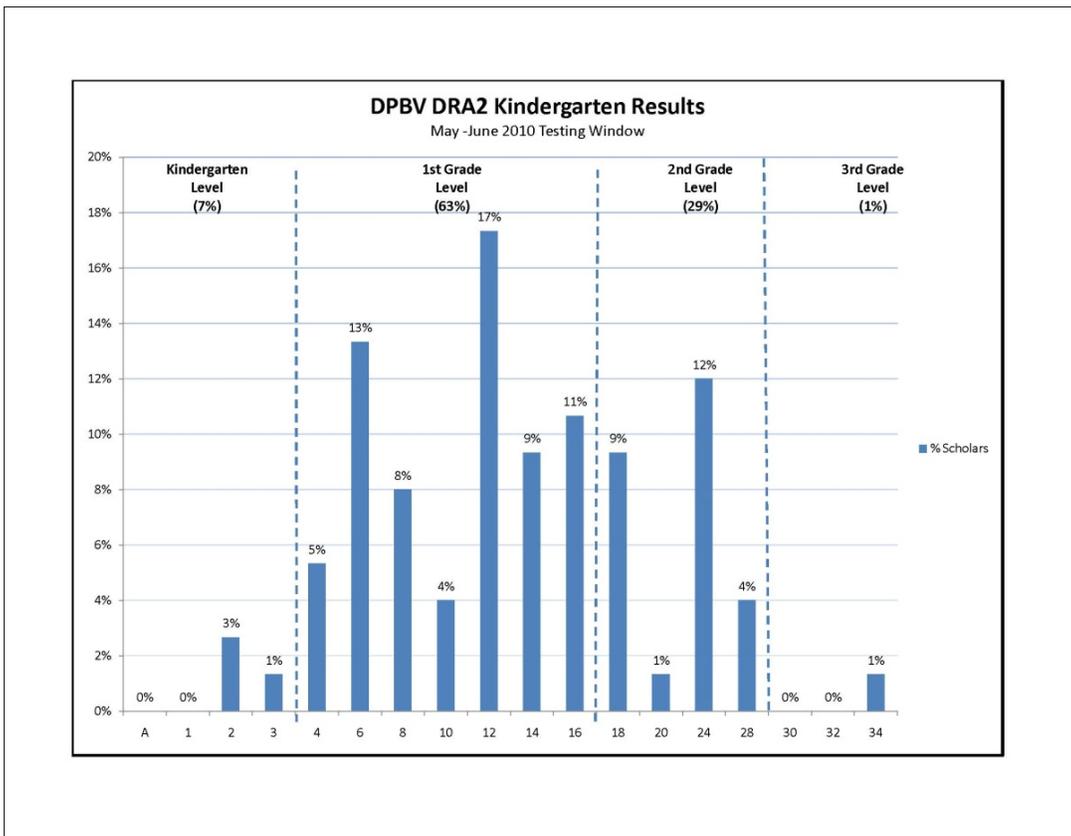


Figure 21: DPBV DRA2 Results, 2010

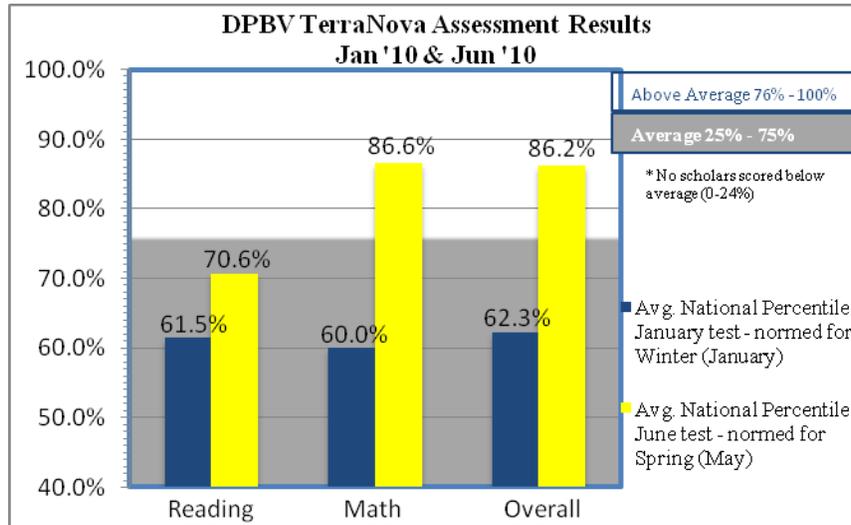


Finally, like most high-performing charter elementary schools, DPBV used the Terra-Nova assessment to measure student growth and performance. The first administration of the Terra-Nova is not permitted until January for kindergarten students. When DPBV scholars completed the

<sup>30</sup> STEP™ 2009-2010

Terra-Nova post-test in May, they had grown from an Average National Percentile of 62.3% to 86.2%, for growth of 24% in just four months. Figure 22 shows these results.

Figure 22: DPBV Terra Nova Assessment: January to June 2010



TerraNova’s Grade Mean Equivalency further demonstrates the significance of DPBV Scholar’s academic growth in a short period of time. Between January and June, roughly one half of the year, DPBV scholars achieved an average growth of 1.1 grade levels in Reading and Math. This validates our similar internal STEP assessment and our DRA Results. By the end of kindergarten, the average DPBV scholar performed as well on the assessment as an average 1<sup>st</sup> grader in the 8<sup>th</sup> month of school in both reading and mathematics.

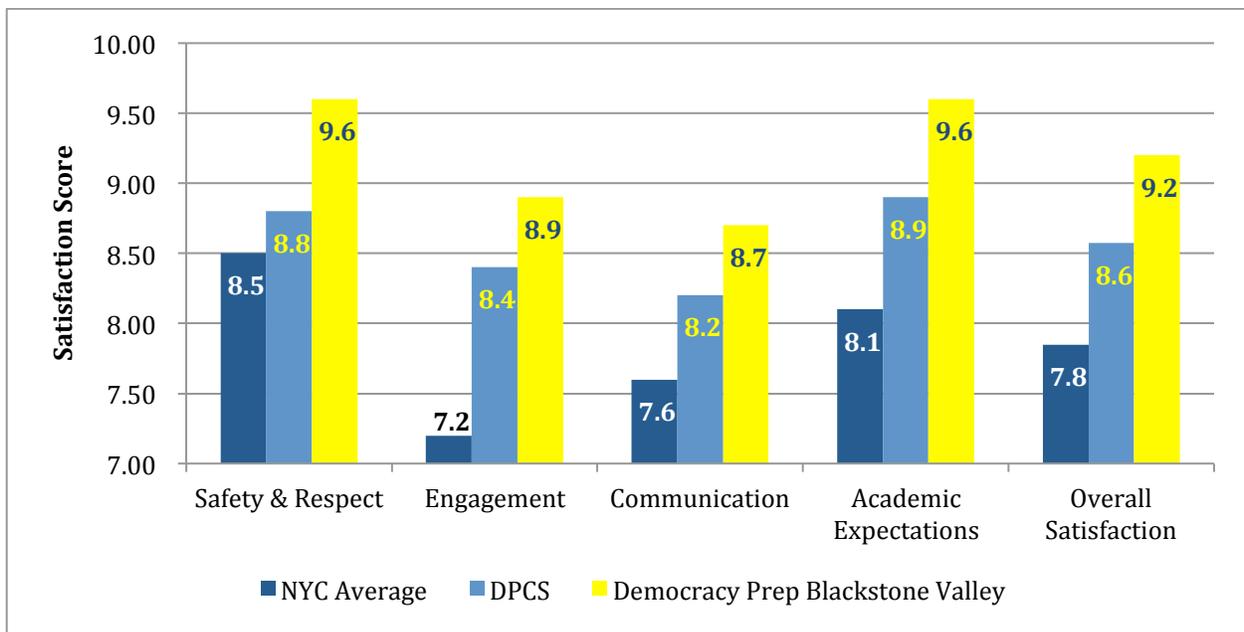
These assessments results imply that DPBV students were on a much higher trajectory than similarly situated students in Rhode Island where just 72% of all third graders, and 58% of economically disadvantaged third graders, scored in the proficient range or higher on the New England Common Assessment Program (NECAP) in 2009.<sup>31</sup> Given the strong correlation between early achievement measures on STEP, DRA, and Terra-Nova and subsequent test

<sup>31</sup> 2009 RI NECAP Results, <http://www.ride.ri.gov/assessment/Results.aspx>.

scores,<sup>32</sup> DPBV’s data suggest that students were likely on track to surpass even Rhode Island’s wealthiest and highest-performing districts on the NECAP in three years.

Parent satisfaction at DPBV was higher even than that of DPCM, both of which far exceed the average for New York City. DPBV administered an identical survey to the parent portion of the NYC Learning Environment survey. Figure A.21 shows the results of that survey compared to DPCM and the NYC average.

Figure 23: Family Satisfaction Survey 2009: DPBV vs. DPCM and NYC Average<sup>33</sup>



In sum, from satisfaction surveys to a variety of literacy assessments, the data shows that Democracy Prep Blackstone Valley, delivered outstanding literacy gains above the national average for all subgroups and that parents were extremely satisfied. This early success was crucial

<sup>32</sup> See, e.g., Perry, Joseph D. et al. (1978), “Kindergarten Competencies as Predictors of Third Grade Achievement-Related Behaviors and Academic Achievement,” Paper presented to the Annual Meeting of the American Educational Research Association; Fletcher, Jack M. and Satz, Paul, “Kindergarten Prediction of Reading Achievement: A Seven-Year Longitudinal Follow-Up,” *Educational and Psychological Measurement*, Vol. 42, No. 2, 681-685; Hart, Betty and Risley, Todd R. (2003), “The Early Catastrophe, The 30 Million Word Gap,” *American Educator*, Vol. 27, No. 1, 4-9.

<sup>33</sup> Data comes from Family Satisfaction Survey administered by Brown University Graduate Student, Elsa Dure and the 2009 NYC Learning Environment Survey accessible: <http://schools.nyc.gov/Accountability/tools/survey/default.htm>.

to SUNY Charter Schools Institute's approval of DPPS' application to turn around Harlem Day Charter School. Based on DPBV's record and Harlem Prep's early results (See Selection Criteria Section A) DPPS expects to achieve similar best-in-class results there.

### **B. Schools Operated by Applicant**

DPPS currently operates four schools at four different locations, with four different school leaders. DPCM and DPCH are authorized under the same charter, but are run as separate schools and treated as such by the New York City Department of Education. Figure 24 presents overviews of each school, including addresses and school leaders, and provides enrollment percentages by subgroup.

Figure 24: DPPS Schools Overview and Enrollment by Subgroup

	<b>Democracy Prep Charter Middle School</b>	<b>Democracy Prep Harlem Middle School</b>	<b>Democracy Prep Charter High School</b>	<b>Harlem Prep Elementary School</b>	<b>DPPS Network</b>
<b>Year Founded/Acquired</b>	2006	2010	2009	2009 (orig. 2000)	2005
<b>School Leader</b>	William Cooke	Emmanuel George	Lisa Friscia	Lindsay Malanga	N/A
<b>Address (co-location)</b>	2230 5th Avenue, New York, NY 10030	222 W 134th Street, New York, NY 10030	207 W 133rd Street, New York, NY 10030	240 E 123rd Street, New York, NY 10035	207 W 133rd Street, New York, NY 10030
<b>Grades Served</b>	6-8	6-8	9-12	K-5	K-11
<b>Total enrollment</b>	322	216	224	264	1026
<b>FRPL Enrollment</b>	272	184	182	231	869
<b>Percent FRPL</b>	84%	85%	81%	88%	85%
<b>SPED Enrollment</b>	48	44	18	47	157
<b>Percent SPED</b>	15%	20%	8%	18%	15%

<b>ELL Enrollment</b>	18	1	3	12	34
<b>Percent ELL</b>	6%	0%	1%	5%	3%
<b>Total "Educationally Disadvantaged" (FRPL, SPED, or ELL) Enrollment</b>	277	195	183	238	893
<b>Percent "Educationally disadvantaged"</b>	86%	90%	82%	90%	87%
<b>Black Enrollment</b>	280	173	199	190	842
<b>Percent Black</b>	87%	80%	89%	72%	82%
<b>Latino Enrollment</b>	84	60	55	98	297
<b>Percent Latino</b>	26%	28%	25%	37%	29%
<b>Other Enrollment</b>	43	43	29	73	188
<b>Percent Other (Multiracial, Pacific Islander, White, American Indian)</b>	13%	20%	13%	28%	18%

Each school receives its own Chancellor's Progress Report (CPR) from the New York City Department of Education. The CPR overview pages for Democracy Prep Charter Middle School (DPCM), Democracy Prep Charter High School (DPCH), and Democracy Prep Harlem Middle School (DPHM) are provided below. Harlem Prep has not operated for an entire year, so a CPR is provided for Harlem Day (the failing school Harlem Prep is turning around.) These CPRs are included primarily to prove operation of these separate schools, not for proving academic achievement because DPHM and DPCH have not operated long enough to receive progress grades.

**NYC** Department of Education **2010-11 Progress Report Overview** ELEMENTARY and MIDDLE SCHOOLS

**School:** Democracy Preparatory Charter School (84M350)  
**Principal:** Lisa Friscia/Elizabeth Raji  
**Address:** 207 West 133rd Street  
 New York, NY 10030  
**Main Phone:** 212-281-1248  
**School Type:** Middle\*  
**Enrollment:** 340

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The NYC School Progress Report informs families about the school's strengths and weaknesses, emphasizing how far students have come in the past year. Progress Report grades are made up of three sections: student progress, student performance, and school environment. In each section, your school's results are compared to the results of other schools serving similar students. To view your school's Progress Report in detail, visit ARIS Parent Link at arisparentlink.org.

**Progress Report Grade**  
**A**

**Student Progress** **32.1** out of 60 points  
**B**  The student progress grade is based on the *change in student scores* on state tests in English Language Arts and Math *between 2010 and 2011*, compared to other students in the City who started at the same levels.

**Student Performance** **13.6** out of 25 points  
**B**  The student performance grade is based on the results of students in your school on *2011* state tests in English Language Arts and Math.

**School Environment** **11.7** out of 15 points  
**A**  The school environment grade is based on *student attendance* and your school's *NYC School Survey*, where parents, teachers, and students rate academic expectations, safety and respect, communication, and engagement.

**Closing the Achievement Gap** **7.5** (15 points max)  
 Schools receive extra points if they make exceptional gains with students with disabilities, English Language Learners, and students with the lowest proficiency citywide.

**Overall Grade** **64.9** out of 100 points  
**A**  The overall grade is based on the total of all scores above, including additional credit.

**NYC** Department of Education **2010-11 Progress Report Overview** HIGH SCHOOLS

**School:** Democracy Preparatory Charter School (84M350)  
**Principal:** Lisa Friscia/Elizabeth Raji  
**Address:** 207 West 133rd Street  
 New York, NY 10030  
  
**Main Phone:** 212-281-1248  
**School Type:** High School\* \*\*  
**Enrollment:** 155

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<http://schools.nyc.gov/accountability/tools/report>

The NYC School Progress Report informs families about the school's strengths and weaknesses, emphasizing how far students have come in the past year. Progress Report grades are made up of 3 sections: student progress, student performance, and school environment. In each section, your school's results are compared to the results of other schools serving similar students. To view your school's Progress Report in detail, visit ARIS Parent Link at arisparentlink.org.

**Overall Progress Report Grade**

**Student Progress** out of 60 points

The Student Progress grade is based on the annual progress students make toward meeting the state's graduation requirements by earning course credits and passing State Regents exams.

**Student Performance** out of 25 points

The Student Performance grade is based on how many students are graduating and the types of diplomas they earn.

**School Environment** out of 15 points

The School Environment grade is based on student attendance and the school's NYC School Survey, where parents, teachers, and students rate academic expectations, safety and respect, communication, and engagement.

**Closing the Achievement Gap** (14 points max)

Schools receive additional credit for exceptional graduation results among students with disabilities and English Language Learners, and for exceptional graduation and/or Regents results among students with the lowest proficiency citywide.

**Overall Grade** out of 100 points

The Overall Grade is based on the total of all scores above, including additional credit. Category scores may not add up to overall score because of rounding.

\*This overview reflects results for students in grades 9-12 only.  
 \*\*Schools in their first year of operation, or that do not have a graduating class, or that have been designated for phase out, receive a Progress Report with no grades or scores.



Department of Education

# 2010-11 Progress Report Overview

ELEMENTARY and MIDDLE SCHOOLS

**School:** Democracy Preparatory Harlem Charter School (84M481)  
**Principal:** Emmanuel George  
**Address:** 222 WEST 134 STREET  
 MANHATTAN, NY 10030  
**Main Phone:** 212-281-3061  
**School Type:** Middle  
**Enrollment:** 109

For a translation of this overview, please visit  
 للاطلاع على نسخة مترجمة لهذا الموجز، المرجو زيارة الموقع الإلكتروني أدناه  
 এই উপনিবেশের অনুলিপি কপিরা অন্য অংশের কাছ থেকে  
 如需要本概述的中文譯本，請瀏覽  
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## Progress Report Grade

**Student Progress** out of 60 points



The student progress grade is based on the *change in student scores* on state tests in English Language Arts and Math *between 2010 and 2011*, compared to other students in the City who started at the same levels.

**Student Performance** out of 25 points



The student performance grade is based on the results of students in your school on *2011* state tests in English Language Arts and Math.

**School Environment** out of 15 points



The school environment grade is based on *student attendance* and your school's *NYC School Survey*, where parents, teachers, and students rate academic expectations, safety and respect, communication, and engagement.

**Closing the Achievement Gap** (15 points max)

Schools receive extra points if they make exceptional gains with students with disabilities, English Language Learners, and students with the lowest proficiency citywide.

**Overall Grade** out of 100 points



The overall grade is based on the total of all scores above, including additional credit.

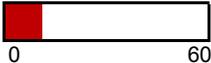
**NYC** Department of Education **2010-11 Progress Report Overview** ELEMENTARY and MIDDLE SCHOOLS

**School:** Harlem Day Charter School (84M708)  
**Principal:** Curtis Palmore  
**Address:** 240 EAST 123 STREET  
 MANHATTAN, NY 10035  
**Main Phone:** 212-876-9953  
**School Type:** Elementary  
**Enrollment:** 251

For a translation of this overview, please visit  
 للاطلاع على نسخة مُترجمة لهذا الموجز، المرجو زيارة الموقع الإلكتروني أدناه  
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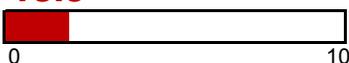
**Progress Report Grade**  
**D**

**Student Progress** **F** **10.3** out of 60 points  
  
 The student progress grade is based on the *change in student scores* on state tests in English Language Arts and Math *between 2010 and 2011*, compared to other students in the City who started at the same levels.

**Student Performance** **D** **3.1** out of 25 points  
  
 The student performance grade is based on the results of students in your school on *2011* state tests in English Language Arts and Math.

**School Environment** **C** **5.1** out of 15 points  
  
 The school environment grade is based on *student attendance* and your school's *NYC School Survey*, where parents, teachers, and students rate academic expectations, safety and respect, communication, and engagement.

**Closing the Achievement Gap** (15 points max)  
 Schools receive extra points if they make exceptional gains with students with disabilities, English Language Learners, and students with the lowest proficiency citywide.

**Overall Grade** **D** **18.5** out of 100 points  
  
 The overall grade is based on the total of all scores above, including additional credit.

**C. Proof of Nonprofit Status**

Democracy Prep Public Schools, the nonprofit 501(c)(3) organization, was founded in 2005 as “Democracy Builders.” The name was official changed to “Democracy Prep Public Schools” in 2012. A certificate indicating this is included below.

N. Y. S. DEPARTMENT OF STATE  
DIVISION OF CORPORATIONS AND STATE RECORDS

ALBANY, NY 12231-0001

FILING RECEIPT

=====

ENTITY NAME: DEMOCRACY PREP PUBLIC SCHOOLS INC.

DOCUMENT TYPE: AMENDMENT (DOMESTIC NFP) TYPE: C COUNTY: NEWY  
PURPOSES PROCESS NFP TYPE NAME RESTATED

=====

FILED:09/21/2011 DURATION:\*\*\*\*\* CASH#:110921000052 FILM #:110921000047

FILER:

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ANDREA CHIOVARI  
C/O SCHULTE ROTH & ZABEL LLP  
919 THIRD AVENUE  
NEW YORK, NY 10022

ADDRESS FOR PROCESS:

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THE CORPORATION  
207 WEST 133RD STREET  
NEW YORK, NY 10030

REGISTERED AGENT:



=====

SERVICE COMPANY: NATIONAL CORPORATE RESEARCH LTD. - 26 SERVICE CODE: 26

FEES	90.00	PAYMENTS	90.00
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FILING	30.00	CASH	0.00
TAX	0.00	CHECK	0.00
CERT	0.00	CHARGE	0.00
COPIES	10.00	DRAWDOWN	90.00
HANDLING	50.00	OPAL	0.00
		REFUND	0.00

=====

DOS-1025 (04/2007)

***STATE OF NEW YORK***  
***DEPARTMENT OF STATE***

I hereby certify that the annexed copy has been compared with the original document in the custody of the Secretary of State and that the same is a true copy of said original.



WITNESS my hand and official seal of the Department of State, at the City of Albany, on September 21, 2011.

A handwritten signature in black ink, appearing to read "Daniel E. Shapiro".

Daniel E. Shapiro  
First Deputy Secretary of State

Rev. 06/07

NCR-26

110921000 047

RESTATED CERTIFICATE OF INCORPORATION

OF

DEMOCRACY BUILDERS

(Pursuant to Section 805 of the Not-for-Profit Corporation Law)

The undersigned, being the Secretary of Democracy Builders, hereby certifies as

follows:

- FIRST:** The name of the corporation is Democracy Builders (the "Corporation").
- SECOND:** The Certificate of Incorporation of the Corporation was filed with the Department of State on August 25, 2005.
- THIRD:** The Corporation was formed under the Not-for-Profit Corporation Law of the State of New York (the "Not-for-Profit Corporation Law").
- FOURTH:** The Corporation is a corporation as defined in subparagraph (a)(5) of Section 102 of the Not-for-Profit Corporation Law.
- FIFTH:** The Corporation is a Type B corporation pursuant to Section 201 of the Not-for-Profit Corporation Law.
- SIXTH:** This Restated Certificate of Incorporation amends and restates the Certificate of Incorporation filed on August 25, 2005 in accordance with Section 805 of the Not-for-Profit Corporation Law by: (a) changing the Corporation's name to Democracy Prep Public Schools Inc.; (b) changing or adding certain provisions relating to the Corporation's purposes; (c) re-classifying the Corporation as a Type C corporation; and (d) changing the address within or without the State of New York to which the Secretary of State of the State of New York shall mail a copy of any process served upon him as agent of the Corporation to 207 West 133rd Street, New York, New York 10030.
- SEVENTH:** This Restated Certificate of Incorporation of the Corporation was authorized by the unanimous written consent of all of the members of the Board of Directors of the Corporation on December 3, 2010.
- EIGHTH:** The Restated Certificate of Incorporation of Democracy Prep Public Schools Inc. (formerly known as Democracy Builders) reads in its entirety as follows:
  - "FIRST:** The name of the corporation is Democracy Prep Public Schools Inc. (the "Corporation").
  - SECOND:** The Corporation is a corporation as defined in subparagraph (a)(5) of Section 102 of the Not-for-Profit Corporation Law of

DOC ID-11130590.6

the State of New York.

**THIRD:**

I. The purposes of the Corporation are to exclusively carry out charitable and educational purposes including:

(a) Management of one or more charter schools in the State of New York pursuant to one or more management agreements each entered into with a non-profit entity holding a charter consistent with Article 56 of the Education Law of the State of New York;

(b) Management of one or more charter schools in the State of Rhode Island and Providence Plantations pursuant to one or more management agreements each entered into with a charter school or mayoral academy established and operated in accordance with the General Laws of Rhode Island;

(c) Management of one or more charter schools in any other state or other jurisdiction pursuant to one or more management agreements each entered into with a charter school or other educational organization established and operated in accordance with the laws of such other state or other jurisdiction;

(d) Acquisition, development, maintenance and repair of real property, personal property, assets, other property and other resources of such charter schools;

(e) Development of curricular systems and strategies for such charter schools;

(f) Providing human resources, finance and administrative and other services, properties and resources for such charter schools;

(g) Employment and administration of teachers, staff and other employees of such charter schools and the Corporation;

(h) Recruiting for such charter schools, including the design and implementation of strategies with respect thereto;

(i) Providing any other services to any charter school permitted by the laws of the state or jurisdiction of such charter school;

(j) Financial oversight of salaries, expenses, fees and other expenditures of such charter schools and the Corporation;

(k) Entering into any contracts that the Corporation deems

DOC ID-11130590.6

necessary or advisable to facilitate the achievement of the foregoing purposes;

(l) Raising funds that the Corporation deems necessary or useful to facilitate the achievement of the foregoing purposes by such means as shall from time to time be found appropriate by the Corporation and are lawful for not-for-profit corporations;

(m) Advocacy in coordination with and on behalf of the charter schools subject to all limitations imposed by law on all §501(c)(3) entities; and

(n) All of the things permitted by §202 of the Not-for-Profit Corporation Law of the State of New York necessary and useful to fulfill and promote its purposes; provided, however, that notwithstanding any other provision of this Restated Certificate of Incorporation, the Corporation is organized exclusively for one or more of the following purposes: charitable, scientific, religious, or educational, as specified in §501(c)(3) of the Internal Revenue Code of 1986, as amended from time to time, (the "Code"), and shall not carry on any activities not permitted to be carried on by a corporation exempt from Federal income tax under §501(c)(3) of the Code, such that contributions to the corporation are tax deductible under §170(c)(2) of the Code, §2055(a)(2) of the Code, or §2522(a)(2) of the Code.

II. Nothing herein shall authorize the Corporation, directly or indirectly, to engage in or include among its purposes any of the activities mentioned in §404 of the Not-for-Profit Corporation Law, excluding subparagraph (d).

III. Nothing herein shall authorize the Corporation to operate or maintain a charter school, a nursery school, an elementary school, a secondary school, a college, university or to advertise or offer credit bearing courses or degrees in New York State.

- FOURTH** The lawful public or quasi-public objectives which each business purpose will achieve are: improvement of civic education and college preparation of students in underserved communities.
- FIFTH:** The Corporation shall be a Type C corporation pursuant to §201 of the Not-for-Profit Corporation Law.
- SIXTH:** The office of the Corporation is to be located in the County of New York, State of New York.
- SEVENTH:** The names and addresses of the initial directors of the Corporation are:

DOC ID-11130590.6

<u>Name</u>	<u>Address</u>
Seth Andrew	300 W. 135 <sup>th</sup> Street, #7S New York, NY 10030
Brooks Burdette	c/o Schulte Roth & Zabel LLP 919 Third Avenue New York, New York 10022
Helen Morik	3777 Independence Avenue Bronx, New York 10463
Sanjiv Rao	404 West 48th Street, Apt. 1C New York, New York 10036

**EIGHTH:** The Secretary of State is designated as agent of the Corporation upon whom process against it may be served. The address within or without this State to which the Secretary of State shall mail a copy of any process accepted on behalf of the Corporation is: 207 West 133rd Street, New York, New York 10030.

**NINTH:** Notwithstanding any other provisions of these articles, the Corporation is organized exclusively for one or more of the purposes as specified in §501(c)(3) of the Code, and shall not carry on any activities not permitted to be carried on by a corporation exempt from Federal income tax under §501(c)(3) of the Code or corresponding provisions of any subsequently enacted Federal tax laws.

No part of the net earnings of the Corporation shall inure to the benefit of any member, trustee, director, officer of the Corporation, or any private individual (except that reasonable compensation may be paid for services rendered to or for the Corporation), and no member, director, trustee, officer of the corporation or any private individual shall be entitled to share in the distribution of any of the Corporation assets on dissolution of the Corporation.

No substantial part of the activities of the Corporation shall be carrying on propaganda, or otherwise attempting to influence legislation (except as otherwise provided in §501(h) of the Code), and the Corporation shall not participate in, or intervene in (including the publication or distribution of statements), any political campaign on behalf of (or in opposition to) any candidate for public office.

In the event of dissolution, all of the remaining assets and property of the Corporation shall, after payment of necessary

expenses thereof, be distributed to another organization exempt under §501(c)(3) of the Code, or corresponding provisions of any subsequently enacted Federal tax laws, or to the Federal government, or state or local government for a public purpose, subject to the approval of a Justice of the Supreme Court of the State of New York.

In any taxable year in which the Corporation is a private foundation as described in §509(a) of the Code, the Corporation shall distribute its income for said period at such time and manner as not to subject it to tax under §4942 of the Code, and the Corporation shall not (i) engage in any act of self-dealing as defined in §4941(d) of the Code, retain any excess business holdings as defined in §4943(c) of the Code, (ii) make any investments in such manner as to subject the corporation to tax under §4944 of the Code, or (iii) make any taxable expenditures as defined in §4945(d) of the Code or corresponding provisions of any subsequently enacted Federal tax laws.”

Executed this 18<sup>th</sup> day of May 2011.

  
Name: Kathryn Stanton  
Title: Treasurer

**MARTIN SHULMAN**

I, \_\_\_\_\_, a Justice of the Supreme Court of the State of  
New York for the FIRST Judicial District do hereby approve of the foregoing  
Restated Certificate of Incorporation of Democracy Builders and consent that the same be filed.

Date: JUN 30 2011



J.S.C.

**MARTIN SHULMAN**

THE ATTORNEY GENERAL HAS NO OBJECTION  
TO THE GRANTING OF JUDICIAL APPROVAL  
HEREON, ACKNOWLEDGES RECEIPT OF  
STATUTORY NOTICE AND DEMANDS SERVICE  
OF THE FILED CERTIFICATE. SAID NO OBJECTION  
IS CONDITIONED ON SUBMISSION OF THE  
MATTER TO THE COURT WITHIN 60 DAYS HEREAFTER.

*Laura Werner*  
ASSISTANT ATTORNEY GENERAL      DATE  
*Laura Werner 6/1/11*

NCR-26

110921000 047

2011 SEP 20 PM 3:03

RESTATED CERTIFICATE OF INCORPORATION

OF

**DEMOCRACY BUILDERS**

*(Name of Not-for-Profit Corporation)*

Under Section 805 of the Not-for-Profit Corporation Law

Filed by: Andrea Chiovari  
*(Name)*

c/o Schulte Roth & Zabel LLP, 919 Third Avenue  
*(Mailing Address)*

New York, NY 10022  
*(City, State and Zip Code)*

lde  
STATE OF NEW YORK  
DEPARTMENT OF STATE  
FILED SEP 21 2011  
TAX S: 9AD  
BY: newy

2011 SEP 21 AM 9:03

Drawdown

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DOC ID-17372236.1

DOS-1712 (Rev. 11/06)

**D. Resumes**

Resumes of the CMO executive team and CMO service team directors are included below.

# S e t h A n d r e w

Seth@alumni.Brown.edu

## Objective:

*To found and lead innovative public schools which prepare all students for success in college and citizenship.*

## Education:

**Harvard Graduate School of Education-** Ed.M in School Leadership & School Development

**Harvard Business School-** Coursework in Entrepreneurship & Effective Leadership of Social Enterprise

**Brown University-** B.A. in Educational Studies and Public Policy & American Institutions

**The Bronx High School of Science-** Regents Diploma with Honors

**United States House of Representatives Page School-** Junior Diploma, National Honor Society

## Educational Experience:

***Democracy Preparatory Public Schools***, Harlem, NY & Valley Falls, RI

**9/05-Present**

- **Founder & Superintendent-** Responsible for all aspects of founding public charter schools on four campuses in Central Harlem and Rhode Island serving students in grades K-12 with a rigorous college-prep academic program. Manage \$10 million annual budget with 75 administrative and teaching staff functioning as both principal and superintendent. Oversaw construction of \$5.5 million new facility for Democracy Prep Middle School while leading a substantial capital campaign which garnered funding from the Walton Foundation, Robin Hood Foundation, and numerous other competitive funding sources. Balanced rapid expansion of all academic and financial aspects of the school, while running substantial surpluses each year, earning clean independent audits, and building a strong foundation for future success and growth.
- **Head of School-** In the school's first four years Democracy Prep immediately became one of the few straight "A" schools in New York City, ranking #1 in Harlem and #8 in NYC for academic excellence, student achievement growth, safety, and overall quality. While 100% of Democracy Prep's scholars are students of color, 91% enter dramatically below grade level, 85% qualify for Title I lunch, 20% have special needs, 12% are incoming English Language Learners, in their first year at DPCS, students average more than 3 grade levels of growth. After just two years, 100% become college bound public citizens who debate competitively, participate in civic activities, and are Working Hard, Going to College, and Changing the World!

***Building Excellent Schools***, Boston, MA

**9/04-8/05**

- **Fellow-** BES is a national non-profit program that provides research-based hands-on training to an elite group of aspiring school leaders who approach urban education with a focus on high academic standards and a "no excuses" approach to school culture. The fellowship focuses on drafting the charter application, recruiting the founding Board of Trustees, building community support prior to school opening while completing a school residency at a high-performing school.

***Amistad Academy Charter School***, New Haven, CT

**9/04-8/05**

- **Administrative Fellow & Special Education Teaching Consultant-** Work closely with Head of School, Dacia Toll to design and implement strategies for students far below grade level in reading and math. Coach special education coordinator and teachers using feedback, model lessons, curricular design, and working 1-on-1 with most “challenging” students.

***Coelho Middle School***, Attleboro, MA

9/03-8/04

- **Inclusion Specialist-** Designed and implemented curriculum and support for students with Special Needs, administered the Inclusion Program, maintained a large Special Education caseload, and lead faculty workshops. Taught four blocks each day of seventh grade inclusionary English and math. More than 90% of special needs students passed the high stakes MCAS.

***Cambridge Rindge and Latin High School***, Cambridge, MA

9/02-8/03

- **Inclusion Specialist & Teacher-** Administrator of the School Four inclusion program, maintained IEP caseload, led four Special Education teachers, held best-practice seminars, and ensured compliance with relevant special education law. Taught a full load of history, literature, and academic strategies courses to a remarkably diverse group of students. 92% of our small school inclusion program and 100% of personal high school pupils passed the MCAS exam on their first attempt.

***Fenway Pilot High School***, Boston, MA

9/01-6/02

- **Leadership Intern; Project Coordinator-** Worked with Principal Larry Myatt to research, design, implement, teach and evaluate a Social Action Curriculum for high school students including group work, field trips, and follow-up assignments.

***Dong-Seung Middle School & OHA Language Academy*** Chonan, South Korea

1/01-8/01

- **English Teacher-** Taught English grammar, pronunciation, vocabulary, and civics to 350 Korean students with class sizes of 45. Coached the English speech team, re-wrote the English curriculum, and introduced American pedagogy.
- **Seminar Leader-** Taught English as a Second Language to four classes of college students.

**Teaching Certifications:** Political Science, Social Studies, & Moderate Disabilities  
NY, MA, & RI

Seth Andrew Continued  
Page 2 of 2

**Professional Experience:**

***Democracy Builders***, New York, NY

10/05-Present

- **Founder & CEO-** Democracy Builders supports urban public schools committed to civic education and college preparation in their pedagogy, curriculum, and governance. Starting in 2005, Democracy Builders sponsored Democracy Prep Charter School, the highest ranked school in Harlem to serve students in a disciplined, high-standards, and college-preparatory environment.

***U.S. Department of Education, Office of the Deputy Secretary***, Washington, DC

5/00-9/00

- **Policy and Management Analyst-** Wrote “Key Indicators for Hispanic Student Achievement,” and helped to create and manage \$20 million grant program supporting Dual Language Education programs across the nation. Edited and evaluated reports on Charter Schools, teacher training, merit pay, and paraprofessionals under Title I.

***Mayor's Council on Drug and Alcohol Abuse***, Providence, RI

9/97-5/98, 10/98-12/00

- **Chief Grant Writer & Consultant**- Applied for grants, assisted in financial management, and worked on-site for school-based prevention programs totaling \$1.6 million. Managed the Youth Positive Providence (YPP) working group to provide a continuum of services Providence high school students while implementing substance-abuse prevention curriculum.

***University of Pretoria***, Pretoria, South Africa

Summer, 1999

- **Guest Lecturer & Research Fellow**- Lectured on the American Education System in a comparative education course for South African undergraduate and graduate students; Served as a research fellow; wrote grants & a strategic plan for a merger between the Faculty of Education and a historically black teacher's college.

***SAGA Consulting***, Providence, RI; Cambridge, MA; & Chonan, South Korea

11/98-8/04

- **CEO**- SAGA is an educational consulting group providing services to candidates and social sector organizations. SAGA worked with a wide variety of clients around the world, primarily in the areas of Strategic-planning, Assessment, Grant-writing, and Administration including a select group of businesses, non-profit organizations, public schools, and government agencies.
- **Political Consultant**- Consulted and managed campaigns for David Cicilline for State Representative 2000, Uzoma Ukamadu for Democratic District Committee & Jessica Robertson for Democratic State Committee 1998. All victorious candidates.

***Seth Andrew for State Representative***, Providence, RI

5/98-9/98

- **Candidate**- Registered 1000+ new voters, managed staff of seven, lost by 79 votes to six-year incumbent.

***Rhode Island Secretary of State James Langevin***, Providence, RI

6/97-2/98

- **Policy Analyst**- Formulated, researched, and co-authored a major study entitled "*ACCESS DENIED: Chaos, Confusion, and Closed Doors*" which detailed the RI General Assembly's abuse of the Open Meetings Law throughout the 1997 session.

**Selected Leadership, Awards, & Achievements:**

**Harry S. Truman Scholarship for Public Service**- For excellence in academics, leadership, and public service

**Brookings Institution, Center for Public Policy Education**- Selected for Summer Institute Program

**Common Cause Good Government Award**- For "*Access to Public Records: Audit of RI Cities and Towns*"

**Society of Professional Journalists Public Service Award**- For "*Access to Public Records*" & "*Access Denied*"

**Massachusetts Teaching Bonus Program**- One 50 recipients chosen statewide for New Teachers Project award.

**President of the Board**-Polaris Project 501(c)3; Work with Executive director on financial and program development

**Key Note Speaker**- Graduation ceremony, Booker T. Washington- Junior High School 54 (alma mater)

**Media Features & Appearances:** NPR, NBC, ABC, FOX, CNN, CBS, extensive print coverage, etc.

**Selected Public Testimony & Selected Writings:**

**2009 National Public Charter School Conference**- "Choice and Voice: Student Advocacy & Civic Engagement"

- 2008 Dean's Leadership Conference, Harvard Graduate School of Education-* "Charter school leadership"
- 2007 Education Seminar, Vassar College-* "No Excuses: Urban schools that defy the odds"
- 2004 Rhode Island Senate Committee on Education-* "Charter Schools *Are* Public Schools"
- 2004 Rhode Island House Committee on Finance-* "District Oversight Will Hurt Public Charter Schools"
- 2003 Rhode Island Commission on Civic Education-* "The Need for Democracy Prep"
- 2002 "Civic Malpractice" & "The Need for Democracy Schools"* Research for Prof. Dana Villa & Prof. Ted Sizer
- 1999 "Key Indicators for Hispanic Student Achievement"* With Heidi Rameriez, U.S. Department of Education
- 1998 "Access Denied: Chaos Confusion and Closed Doors"* With Hon. Jim Langevin & Prof. Ross Cheit

**Interests & Skills**

**Travel-** Visited 57 countries on 6 continents and 36 US states

**Architecture-** Particularly, colonial American urban architecture, preservation, and urban revitalization

**Athletics-** Avid small craft sailor, cyclist, rollerblader, and skier

**Leadership-** Masters level work in instructional leadership, finance, governance, and school management

**Development-** Grant-writing and fundraising skills for curricular and extracurricular activities

**Technology-** Word processing, Powerpoint, Excel, video, Access, Stata, Lexis-Nexis, Adobe, etc.

**References and educational leadership portfolios available upon request**

Kathryn Duffy

---

**EDUCATION**

**George Washington University, June 2008**

M.A. in Educational Leadership

**Mount Holyoke College, May 2002**

B.A. in Philosophy, Religion

**WORK HISTORY**

**Democracy Prep Charter School**

*Director*

*of External Affairs (present)*

Responsible for all fundraising, including foundation, corporation and individual philanthropy; grant and relationship management and special events; design and implement robust and data-driven development plan; ensure school's legal compliance, interfacing with federal, state and local officials; serve as the primary liason with the Board of Trustees; manage and design all marketing materials and publications; serve as the spokesperson for the school with members of the press

*Director  
of Development (2007-2008)*

Responsible for the design and management of development effort, including marketing, solicitations, acknowledgements; sole grant writer; webmaster; responsible for monthly Board meetings and Board development; serve as a member of the School Leadership Committee; Lead advisor for cohort of 30 students; plan and manage all special events

**Harlem Day Charter School**

*Director of Student Affairs (2006-2007)*

Responsible for the design and management of the afterschool and summer programs, including planning, staffing and supervision of the programs; managed the placement efforts for our outgoing 5th graders, including assisting families and maintaining relationships with contacts at appropriate 6th grade programs; helped to set school tone through the organization of schoolwide events and the assembly program, as well as enforcing the Code of Conduct on a daily basis; responsible for the oversight and management of the school assistants; worked as a member of the administrative team, as well as serving as a member of the Student Support Team

*Program  
Coordinator  
(May 2004 – May  
2006)*

Managed and coordinated Extended Day Program, including outside organization involvement, staffing, and accountability; Managed and coordinated all special events; managed and coordinated daily lunch and recess schedule; served as the primary contact between outsourced Accounting and Benefit Administration; worked as a member of the senior administrative team (including Head of School, Administrator, and Director of Business and Development) to manage disciplinary concerns, budgetary and future planning; Managed and coordinated the

Summer Session

**The Women's City Club of New York**

***Administrative Coordinator (2003 – 2004)***

Primary contact for correspondence with public officials, press, and vendors; Managed database for development and membership; Coordinated all aspects of internal and public meetings; Produced newsletter and all other distributed material; Managed office technology, including maintaining website; Served as acting senior staff person

**The New York Metro Region Leadership Academy**

***Ethics Teacher (Summer 2002)***

Designed and taught a seven-week "Ethical Leadership," which focused on the meaning and role of an ethical leader, including issues such as affirmative action, bioethics, and the present and future of education; writing and speaking intensive, with position papers and weekly debates

***Administrative Assistant (2002 – 2003)***

*Organized and facilitated IQ Testing for 300 potential students; interviewed prospective candidates; proctored entrance testing; was primary contact for all correspondence; managed all office matters; managed full talent search, preparatory, and post-preparatory database; collaborated with Development Office in data collection and analysis; organized and facilitated transportation of all students in the Summer and School-year Terms; Served as a dorm leader for a 7 week residential program; planned extracurricular programs; regularly acted as a substitute teacher for all subject areas; coached and advised after-school activities*

**Prep for Prep**

***Summer Session (Summers 1999-2001)***

Was responsible for continuing a working relationships for service providers for 15 students daily, which included budgetary & geographical concerns; was one of the key facilitators of a four day trip to a Connecticut boarding school for over 150 students, including scheduling and rooming issues: worked closely with Executive Staff, including the Executive Director and Founder; worked one on one with children who were having difficulties, from academic concerns to time management issues

***Special Assistant for the***

**MEMBERSHIPS**

Women's City Club of New York, Democracy Builders (Board Chair), Young Alumni Network (George Washington University), Women in Development (New York Chapter), Young Alumnae of New York (Mount Holyoke College)

**ADDITIONAL SKILLS**

Latin (Fluent), French (Intermediate), Soccer, Basketball, Tennis, HTML, Quark Xpress (Publication software), Blackbaud Suite, Photography

## Sean Gallagher

□ sgallagher@akiliacademy.org

### Professional Experiences

**FOUNDER AND EXECUTIVE DIRECTOR (December 2007 to present) Akili Academy of New Orleans, New Orleans, LA**

In our third year of operation, our inaugural class of 3<sup>rd</sup> Graders posted the highest scores in the Recovery School District on the iLEAP this spring, with 88% overall scoring basic or above, and particularly high scores in ELA (95% at basic or above, 43% at Mastery or Advanced) and Math (92% at basic or above, 46% at Mastery or Advanced). Based on these scores, our Assessment Index is a 117.6, making Akili the highest performing open-enrollment school in New Orleans and the entire Recovery School District.

**FELLOW (August 2007 to August 2008) Building Excellent Schools, Boston, MA and New Schools for New Orleans, New Orleans, LA**

Visited over 40 of the highest performing urban charter schools in the country to inform the startup and opening of Akili Academy of New Orleans, under the guidance of Sue Walsh, Lisa Daggs, Matt Candler, and Nancy Euske.

**VICE PRINCIPAL (July 2005 to July 2007) Independence Charter School, Philadelphia, PA**

Created and led the middle school program after charter revision allowed for expansion from existing grades K-6 to K-8. First class of 8<sup>th</sup> graders graduated in June 2007 with an unprecedented (for Philadelphia) 40 of 42 students accepted to special admission public, charter, and private high schools.

**MASTER INSTRUCTOR (August 2002 to July 2005) Mastery Charter High School, Philadelphia, PA**

Original teacher at the first Mastery Charter High School, which has since grown to six schools across the city of Philadelphia. 97% of our first graduating class in 2005 went on to college, compared to 61% in the School District of Philadelphia.

**SMALL LEARNING COMMUNITY COORDINATOR AND LANGUAGE ARTS TEACHER (1995 to 2002) The School District of Philadelphia, PA**

Leader of a small school-within-a-school, located in a neighborhood middle school in Strawberry Mansion, one of Philadelphia's most economically disadvantaged neighborhoods.

**CALL CENTER MANAGER (1992 to 1995) The Vanguard Group, Malvern, PA**

### Education

**Master of Arts, Educational Administration (2001) Gwynedd-Mercy College**

**Master of Science, Instruction (1996) Drexel University**

**Bachelor of Arts, Economics (1990) Villanova University**

**SAMONA JOE TAIT**



**EDUCATION**

**HARVARD UNIVERSITY GRADUATE SCHOOL OF EDUCATION**

Cambridge, Massachusetts

EdD, Administration, Planning and Social Policy, 2000

MEd, Administration, Planning and Social Policy, 1996

**UNIVERSITY OF PENNSYLVANIA GRADUATE SCHOOL OF EDUCATION**

Philadelphia, Pennsylvania

MS, Elementary Education, 1991

**UNIVERSITY OF PENNSYLVANIA**

Philadelphia, Pennsylvania

BA, *cum laude*, Psychology, 1990

African-American studies minor with Education concentration

**CERTIFICATIONS**

New York: School District Administrator Certification, 2003; School Administration and Supervision, 2000; Principal Certification (Elementary and Junior High School), 1998; Curriculum Design and Instructional Specialist Certification, 1998

Massachusetts: Middle School Principal Certification, 1997; Superintendent Certification, 1997

Pennsylvania: Teacher Certification (K-8), 1991

**CAREER HISTORY**

2007 to 2011

**BRONX PREPARATORY CHARTER SCHOOL**

Bronx, New York

**Head of School – Charter Superintendent**

Led a 5<sup>th</sup> – 12<sup>th</sup> grade level charter school to achieve its mission of preparing underserved students in the South Bronx for college, service to their communities, lifelong learning, and success in their chosen future endeavors. Engaged and expanded a Board of Trustees which provides oversight to the school in continued program development, annual fundraising of \$1 million, and annual achievement of 100% college admissions. Deepened the impact of the school’s achievements on the local educational system as well as the broader educational reform efforts centering on parental choice and focused, structured, high quality learning for all students.

2000 to 2007

**NEW YORK CITY DEPARTMENT OF EDUCATION**

New York, New York

2003 to 2007

**Local Instructional Superintendent (Region 4-Network 4)**

Supervised, evaluated and supported the leadership development of school principals at the elementary, middle, and high school levels in Brooklyn and Queens, NY. Recruited, hired, trained, and retained new principals. Provided direct guidance and oversight for the improvement of instruction

and student achievement for nearly 15,000 students at ten elementary schools, three middle schools and one comprehensive high school. Co-facilitated high school principals' study group and led high school literacy improvement initiative. Conducted professional development, instructional walkthroughs, observations and budget, planning and performance reviews as well as evaluations of principals.

2001 to 2003

**Principal, Juan Morel Campos (PS 290)**

Planned, organized and supervised implementation of all aspects of curriculum, instruction, assessment and daily school operation at PS 290 in East New York, Brooklyn. Recruited, hired and trained teachers and staff developers. Provided vision and facilitated collaborative work of leadership team, including administrators, teachers and parents. Solicited, forged and maintained strategic partnerships with external community agencies and corporate partners. Allocated and directed all human, material and financial resources in support of increased student achievement.

2000 to 2001

**Director of School Improvement (District 19)**

Provided direct support to principals of eight Schools Under Registration Review (SURR) in East New York, Brooklyn. Organized and implemented leadership development seminars and workshops. Directed school re-design process and comprehensive education planning for SURR schools and other state-identified schools in the district. Provided training for all principals in the district regarding the use of walkthroughs, building school culture, maximizing supervision in support of improved instruction.

1999 to 2000

**HARVARD UNIVERSITY**  
Cambridge, Massachusetts

**Assistant to the Directors, Urban Superintendents Program**

Supported program directors in analysis, evaluation and development of program goals and activities regarding leadership development for urban school systems. Planned, coordinated and supervised implementation of seminars, symposia and conferences on urban educational leadership. Developed and managed project budgets in addition to negotiating contracts for private services.

1996 to 1999

**NEW YORK CITY BOARD OF EDUCATION**  
New York, New York

1997 to 1999

**Director of School Re-Design (District 5)**

Supervised the development, implementation and evaluation of new programs and leadership development for administrators. Directed strategic planning, curriculum design and instructional implementation for the district's family literacy initiative. Designed and implemented school review, reform and support processes, including coaching principals engaged in the Accelerated Schools Project. Developed and managed critical relationships with local business, university and religious community partners in Central Harlem, NY.

1996 to 1997

**Executive Intern to the Chancellor**

Co-developed the strategic plan for citywide systemic reform and facilitated

process for the re-design of the school-to-career workforce preparation system. Created strategies and implemented action plans for engaging citywide religious and business leaders. Assisted in development of the special education reform action plan and re-design of policies governing gifted and talented programs. Corresponded with various constituents on behalf of Chancellor Crew and chaired executive cabinet meetings.

Spring 1996

**CAMBRIDGE PUBLIC SCHOOLS**  
Cambridge, Massachusetts

**Administrative Intern**

Served on administrative leadership team of K-8 school. Supervised curriculum development team and coordinated middle school program development. Completed analysis of student test performance data and created instructional modifications plan based on data.

1994 to 1996

**PREP FOR PREP, INC.**  
New York, New York

Summers 1995/1996

**Director of Transportation**

Negotiated contracts with bus companies, established communications protocol and incident reporting system, and created transportation routes for 250 students in the summer program for gifted students. Developed multi-year recruitment and hiring plan.

1994 to 1995

**Coordinator of Leadership Development, Counseling Services**

Supervised counselors and evaluated academic and psycho-social status of 185 senior high school students. Facilitated seminars of aspects of leadership and evaluated eligibility of prospective program participants.

1991 to 1994

**SCHOOL DISTRICT OF PHILADELPHIA**  
Philadelphia, Pennsylvania

**Teacher, Barratt Middle School**

Developed and implemented curriculum in math, science and English/language arts for over-aged students in a bridge program and inclusion model program. Assessed students' academic performance and psycho-social support needs, and coordinated provision of physical, social and mental health services through local agencies. Engaged in school-wide improvement efforts by serving as cooperating/mentor teacher, coordinator of corporate sponsored tutoring projects, and founding member of the school discipline committee and professional development team. Served as director of after-school programs focused on students' personal growth and character development.

References available under separate cover upon request.

**Melanie Hok**



**EDUCATION**

**Wesleyan University**, Middletown CT  
BA in Anthropology, Power and Social Processes Concentration, May 2003

**PROFESSIONAL EXPERIENCE**

**Director of School Operations**

*Achievement First Amistad Academy Elementary and Middle School*, New Haven CT, 2006 to Present

- **Budget and Finance :**
  - Provided fiscal oversight by working with CFO and Principals on developing and managing budget; essentially responsible for ensuring that school operated within Board approved \$6M budget.
  - Monitored monthly cash flow schedule and reported on cash needs accordingly.
  - Ensured that every expense and public/private revenue transaction is recorded into accounting system accurately and in a timely fashion; also maintained documentation necessary to substantiate all expenses incurred (including credit card transactions) and revenue earned & received.
  - Paid all school bills/invoices on time to ensure satisfactory status and relationship with vendors.
  - Processed monthly student meal reimbursement claims via CT SDE Child Nutrition Program online system.
  - Responsible for making sure all assigned accounting functions leading up to month end closings are conducted to enable on-time completion of monthly financial statement checklist.
  - Coordinated preparation for annual school year-end fiscal audit; ensuring that audit goes very smoothly as in school’s year-end audit is completed with no major management or repeat minor management findings reported relating to any internal fiscal policies and procedures.
  - Implemented policies and practices for each school campus to follow in regards to safeguarding school’s assets (cash and property).
  - Prepare and report on bi-monthly budget variance and forecasting.
  - Processed payroll on a semi-monthly schedule for a staff over 100, ensuring that payroll is 100% accurate and on time.
  - Processed annual 1099 statements for independent contractors & consultants, and reported to IRS accordingly.
- **Personnel and Benefits Administration:**
  - Serve as on-site HR contact for school staff; acting as first line of defense on local employee issues; resolved all personnel issues/grievances in a responsive and discrete manner.
  - Facilitated enrollment of employees into all benefits plans (as well as terminate where appropriate).
  - Processed timely and accurate transmittals of retirement funds (403B & CTRB) and other payroll liabilities (i.e. garnishments).
  - Maintained accurate and timely staff attendance/tardy/early departure records to accurately award individuals with attendance bonuses.
  - Coordinated all employee on-boarding/hiring/termination processes and leave policies (Maternity and childcare leave).

- Implemented policies on 100% collection of complete & accurate compensation records, criminal background clearance, and relevant tax & benefits enrollment forms for all employees and contract labor.
- Served as on-site Teacher Certification consultant; handling all questions pertaining to certification and ensuring that all teachers were properly certified or on path to become certified as defined by state law.
- **School Based Operations/Administration:**
  - Oversaw each campus' new school year start-up/launch by ensuring that all core infrastructure is in working order, including IT, electrical, plumbing, doors/locks, copies, telephones, and other equipment, prior to the first day of school.
  - Assisted in the management of student related services such as busing, meal and health services; ensuring that these services are available on the first day and remainder of the year.
  - Managed appropriate staff on ensuring that school grounds and facilities are clean, operational, and safe.
  - Ensured that student meal preparation, distribution, and tracking procedures are in compliance with city and federal health codes and regulations (so that revenue streams such as reimbursement claims are not compromised).
  - Managed Operations team consisting of Office Coordinators/Registrars and School Managers to ensure that all school events, field trips, are well planned, executed, and within budget.
  - Collaborate with School Managers to disseminate report/progress report to teachers and leadership team as well as coordinate student Interim Assessments and state testing.
  - Manage Office Coordinator on ensuring that all student records are accurate, properly maintained, and updated at all campuses.

#### **Center Director**

*Score! Educational Center in Harlem*, New York NY, 2003 to 2006

- **Sales and Budget:**
  - Monitored payroll, operational expenses, and revenue collection to meet monthly and annual company profitability and contribution.
  - Exceeded company average for sales by maintaining a yearly center sales conversion rate of 95% and membership retention of 90%
  - Recognized by Regional Management team as “Center Director of the Month” for February 2006 performance in which center exceeded budget growth and enrollment targets.
- **Management:**
  - Hired, trained, and managed a staff consisting of full time Assistant Directors and part-time Academic Tutors while also maintaining overall customer satisfaction.
- Responsible for daily center operations and facility management.

#### **KEY SKILLS & QUALITIES:**

- Trained in Intuit Quickbooks and ADP PayExpert.
- Proficiency in Microsoft Office 2007 (Word, Excel, PowerPoint, and Outlook).
- Strong leader comfortable with setting direction and making decisions.
- Warm, friendly, and professional personality with ability to make and maintain effective working relationships.



CHIV HENG

Employment  
History

<p><b>Democracy Prep Public Schools</b> <b>Senior Director of Knowledge Management</b></p> <p>Responsible for oversight of organization-wide technology, data, media and curricular content management systems.</p>	2011 – Present
<p><b>Regional Director of Operations &amp; Technology – Rhode Island</b></p> <p>Provided planning and support in Facilities, Development and HR for a “No Excuses” high performing charter school serving K-12. Responsible for data assessment, reporting, and school-wide technology support.</p>	2010 – 2011
<p><b>The Providence Plan – Providence, RI</b> <b>Director of Information Technology</b></p> <p>Designed and implemented I.T. infrastructure improvements and provided support for the diverse technology needs of The Providence Plan and its various program initiatives; Developed I.T. budget and made all related purchasing decisions, enabling broad cost savings while improving usability and performance. Developed improved policies around disaster recovery and network security.</p>	2009 – 2010
<p><b>Network Administrator/Database Specialist</b></p> <p>Managed a computer network of 15 servers, 4 remote locations and up to 115 users in a mixed Windows/Linux server environment; Provided business analysis and database development for ProvPlan initiatives (Building Futures, New Roots, ReadyToLearn) which led to improved data tracking and outcome reporting.</p>	2007 – 2009
<p><b>New Roots Providence: Program Coordinator</b></p> <p>Coordinated New Roots Providence’s organizational development training series, which provided free, monthly training by expert facilitators to more than 150 community and faith-based organizations in Providence; Provided one-on-one technical assistance for New Roots Capacity Building Grantees; Managed the New Roots Small Grants Program which helped to support young community-based organizations; Designed and published New Roots website and printed communications.</p>	2006 – 2007
<p><b>Crawford Allen House Condominiums – Providence, RI</b> <b>Property Manager, residential</b></p> <p>Represented out-of-state property owners and oversaw successful renovation of multiple condo units; Coordinated with condo association’s management company on all issues concerning association properties; Marketed available units, interviewed prospective tenants, negotiated and transacted lease agreements.</p>	2006 – 2010
<p><b>Barbara Sokoloff Associates, Inc. – Providence, RI</b> <b>Project Staff</b></p> <p>Provided research and consultation to clients applying for city, state and federal subsidies for multi-family and assisted living developments</p>	2005 – 2006

Plan USA – Warwick, RI 2005  


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**Youth Engagement & Action Coordinator**  
 Developed programs and strategies to promote global citizenship in local youth by engaging them to participate in skill-building and leadership activities, youth conferences, international workshops and the development of international “sister schools”;  
 Developed informational programs for schools in RI and MA concerning issues of global development and demonstrating Plan USA’s international aid work focusing on “child-centric development”;

Office of the Mayor, City of Providence – Providence, RI 2003 – 2004  


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**Jr. Policy Analyst / Special Assistant to Chief of Policy**  
 Coordinated 2004 Mayoral Fellowship, a program that offers recent college graduates hands-on experience in local government service;  
 Coordinated and administered Dexter Donation grants and the 2003 Providence School Board nomination process;  
 Provided research and analysis on issues of housing, homelessness, education and community development and served as Office of Policy staff liaison for homelessness service providers.

Education

Wat Pai Lom, Buddhist Temple – Trat, Thailand 2004  


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*Prah/Thai Buddhist Monk*  
 Completed 1<sup>st</sup> year Thai Sangha studies

University of Rhode Island – Kingston, RI 2003  


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 BA in Political Science, magna cum laude  
 Completion of URI Honors Program  
 URI Centennial Scholar

Awards & Fellowships

City of Providence Mayoral Fellow 2003  
 Univ. of RI President’s Award for Student Excellence in Political Science 2003  
 David E. Warren Political Science Award, 2002 & 2003 2002 & 2003

Service

Community Works Rhode Island - Board Secretary 2009-Present  
 Greater Elmwood Neighborhood Services - Board of Directors 2007-2008  
 Mentor/Tutor Internship Program, University of Rhode Island – Teaching Assistant 2002



**Linda Jones Easton**

LJonesEaston@nyc.rr.com

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Results-oriented, experienced executive/ administrator responsible for internal operations, human resources, facilities and special projects. Works well independently and as part of a team. Committed to excellence and achieving goals. An effective negotiator and facilitator who relates well to a wide variety of people and diverse situations.

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**PROFESSIONAL EXPERIENCE:**

DEMOCRACY PREP CHARTER SCHOOL, New York, NY 8/2007 to present  
**Director of Operations and Human Resources**

- Project manager for renovation projects and moves
- Facilities Management
- Oversight of all Human Resources areas
- E-Rate funding coordinator
- Contract negotiator with external vendors
- School Safety Council representative

Relocation Management Solutions, Inc. 10/2006 to 2007  
**Human Resources Consultant & Recruiter**

SHELTERING ARMS CHILDREN'S SERVICE, New York, NY 1986 to 2006  
**Assistant Executive Director, Operations and Human Resources**

Responsible for day-to-day administrative operations, human resources, facilities and special projects. Responsible for introduction and implementation of new policies, negotiating contracts, and administration of one of New York City's oldest child care and early childhood education agencies.

- Project manager for several build-out and renovation projects
- Developed and implemented a procurement process that cut costs 40%
- Negotiated union contracts advancing management rights and health insurance cost containment
- Developed and implemented a employee recognition program
- Member of four person team that successfully started Harlem Day Charter School and member of Board of Directors of school
- Developed human resources workshops
- Provided human resources services for two charter schools

**Positions Held:****Assistant Executive Director****Director of Operations**

**Assistant to the Executive Director**

HARLEM DOWLING CHILDREN'S SERVICE 1983-1986  
**Assistant to the Executive Director**

**EDUCATION:**

Bachelor of Science; Business Administration and Certificate in Pre Law  
Caldwell College, New Jersey

**Memberships:**

Founding Member, Harlem Day Charter School Board of Trustees (2001 to present)  
Brooklyn Charter School (2002 to 2006)  
Trustee, 1707 Health and Benefit Fund (2001 to 2006)  
Trustee, Immaculate Conception Elementary School (1985 to 1990)  
Member, Society for Human Resource Management (2001 to present)  
Member, International Foundation (2001 to 2007)

## Jonathan C. Howard

### Experience

#### **Democracy Prep Public Schools, Director of Talent** *New York, New York - 2008-Present*

- Design, implement, and manage the selection process used to recruit, select, and hire more than 200 employees, including 140 teachers.
- Develop and execute innovative recruitment strategy aimed at attracting high performing teachers and leaders to Democracy Prep including marketing campaigns, professional development opportunities, promotional videos, open houses, informational calls, and attending education-related events.
- Improve and systematize recruitment processes including online applications, interview question templates, candidate task development, and wooing.
- Increased the application pool from approximately 1,000 to 6,000+ over the course of three years.
- Manage three full-time recruiters.
- Manage relationships with Democracy Prep school leadership teams with regards to staffing needs.
- Provide feedback to school leadership teams on demonstration lessons and tasks for all candidates.

#### **Teach For America, Special Education Teacher** *New York, New York - 2006-2008*

- Selected as one of 2,500 teachers from pool of 18,000 applicants.
- Committed two years to help close the education achievement gap in Harlem.
- Participated in a 6-week intensive training to develop the skills and knowledge to achieve significant gains in student achievement.

#### **Democracy Prep Charter School, 6<sup>th</sup> Grade Special Education Teacher** *New York, New York - 2007-2008*

- Co-created Academic Collaboration Team to best serve the needs of special needs students with Individualized Education Plans and students needing extra support in reading and math.
- Co-taught Reading and Math classes and taught multiple small groups of students.
- Authored Individualized Education Plans for all 6<sup>th</sup> grade special needs students and tracked students' progress toward annual goals.
- 15 of 18 students increased overall reading level by 1.5 grade levels; 5 of 18 increased overall reading level by 2 grade levels or more.
- 12 of 18 students with at least a 70% overall average in reading and math classes. 17 of 18 students with 80% homework completion.

#### **Choir Academy of Harlem, Middle School Special Education Teacher** *New York, New York - 2006-2007*

- Special Education teacher for special needs students; provided academic support in English, Social Studies, Math, and Science.
- Authored Individualized Education Plans for all middle school special needs students and tracked students' progress toward annual goals.
- 4 of 11 students increased overall reading level by 1.5 years. 5 of 11 students reached 80% mastery of grade level math objectives.

### Education

**University of North Carolina at Chapel Hill** *Chapel Hill, North Carolina – January 2012-Present*  
*MBA Candidate, Anticipated Graduation in December 2013*

**Pace University** *New York, New York - 2008*  
*Master of Science for Teachers: Childhood Education: Students with Disabilities*

**Arizona State University** *Tempe, Arizona - 2006*  
*Bachelor of Science in Management*

### Community

#### **St. HOPE Leadership Academy Charter School, Founding Board Member** *New York, New York - 2007-Present*

- Serve as Board Member for 4<sup>th</sup> year charter school in Harlem. Sit on Executive, Nominating (Chair), and Partnership Committees.
- Attend monthly board meetings and vote on action items which dictate school and board policy.

#### **Teach For America, Phone Interviewer** *New York, New York - 2009*

- Conducted phone interviews with 2010 Teach For America Candidates.
- Scored candidates on a rigorous rubric to evaluate suitability.

### Activities

**Democracy Prep Charter School Basketball Coach** *New York, New York - 2007-2010*

**Arizona State University Varsity Basketball** *Tempe, Arizona - 2000-2002*

**PRINCESS V. LYLES, ESQ.****SUMMARY OF QUALIFICATIONS**

Multifaceted professional with a legal background and demonstrated success in compliance and operations. Self Starter with experience in leading, managing and working on collaborative teams. Strategic thinker with a passion for increasing capacity and organizational process effectiveness.

- |                      |                          |                     |
|----------------------|--------------------------|---------------------|
| ▪ Project Management | ▪ Writing & Editing      | ▪ Capacity Building |
| ▪ Team Leadership    | ▪ Curriculum Development | ▪ Vendor Management |
| ▪ Advocacy           | ▪ Relationship Building  | ▪ Proposal Writing  |

**PROFESSIONAL EXPERIENCE****DEMOCRACY PREP PUBLIC SCHOOLS**, New York, NY

*Director of Family & Community Engagement* February 2012-Present

- Cultivate strategic partnerships with mission aligned community and civic based organizations.
- Build meaningful relationships with the families of DPPS scholars and facilitate family advocacy efforts.
- Lead network-wide new student recruitment and enrollment processes interacting with students, parents and school guidance personnel and strategically leading student recruitment marketing.
- Actively seek out opportunities for family civic engagement and for DPPS presence in community initiatives.

*Senior Registrar* November 2011- February 2012

- Managed Registrar team in ensuring student data is maintained and reconciled.
- Ensured network schools are in compliance with necessary reporting requirements.
- Provided training for school based Operations Managers and work closely in assisting network Director of Operations & Finance.

**THE BLACK INSTITUTE**, New York, NY

*Executive Director* January 2011-November 2011

- Managed all daily operations and business matters including dealings with legal counsel, accountants, hiring staff etc.
- Drafted & reviewed all material contracts related to the Institute's activities.
- Successfully completed organizations registration with the New York State Charities Bureau and 501(c)(3) application.
- Cultivated relationships with donors, prospective contributors, organizational partners and elected officials.
- Developed and draft curriculum for organizations training program in community organizing and political organizing.

**ONE NATION WORKING TOGETHER**, New York, NY

*Manager of Operations* June 2010-November 2010

- Assisted in coordinating outreach efforts for national mobilization.
- Reviewed material operational contracts and drafted project proposals.
- Participated in strategic planning and coordination regarding event turnout and logistics.

**SHIPMAN & GOODWIN LLP**, Hartford, CT

*Associate, Corporate & Real Estate Law* September 2006– April 2009

- Conducted contract negotiations related to commercial purchase agreements and retail leases.
- Participated in closing numerous mergers & acquisitions (m&a) and commercial finance transactions.
- Restructured financing for real estate developers to avoid bank foreclosures.
- Managed teams of junior associates in preparing m&a diligence reports.
- Drafted commercial documents such as promissory notes, guaranty of payment agreements, loan modifications, demand letters and forbearance agreements.
- Advised financial institutions, corporations and closely held businesses in general corporate matters.

**INTERNSHIPS & SUMMER EXPERIENCES****SHIPMAN & GOODWIN LLP**, Hartford, CT, Summer 2005

▪ *Summer Associate*

**NAACP**, Baltimore, MD, Summer 2004

▪ *Law Fellow Internship*

**INTERNATIONAL HUMAN RIGHTS EXCHANGE**, Durban, South Africa, Summer 2003

▪ *Exchange Student*

P. Lyles Resume, Page 2

**FLEETBOSTON FINANCIAL (currently Bank of America)**, Hartford, CT, Summers 1999-2002

- *Inroads Intern*

#### **EDUCATION**

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**HOWARD UNIVERSITY SCHOOL OF LAW**, J.D., 2006

**SPELMAN COLLEGE**, B.A., Political Science, *magna cum laude*, 2003

**UNIVERSITY OF CALIFORNIA, SAN DIEGO**, Domestic Exchange Student, Fall 2001

#### **ACTIVITIES & INTERESTS**

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**NY-SPELMAN COLLEGE ALUMNAE ASSOCIATION**, New York, NY, Vice-President, 2009-Present

**METROPOLITAN LIGHTHOUSE CHARTER SCHOOL**, Bronx, New York, Board Member, 2009-2011

**CAREER BEGINNINGS**, Hartford, CT, Mentor, 2006-2008

- Assisted high school seniors with their college application and financial aid application processes.
  - Served on programs Career Day Panel for junior and senior high school students.
- FRED WISH TUTORIAL PROGRAM**, Hartford, Connecticut, Tutor, 2006-2008
- Served as a weekly tutor to 3rd grade students at Fred Wish School through partnership between the school and Shipman & Goodwin LLP.

**E. Letters of Support**

Letters of support are included below from Joel Klein, former Chancellor of the New York City Department of Education, John White, Louisiana State Superintendent, Kevin Huffman, Tennessee Commissioner of Education, Dr. Roland Fryer, Faculty Director of Harvard University's Education Laboratory, Linda Brown, CEO and Founder of Building Excellent Schools, Jeff Li, Executive Director of Teach For America New York, Holly Nuechterlein, Grant Program Manager at the Louis Calder Foundation, and Carol Van Atten, Vice President of Programs at the Charles Hayden Foundation.



1211 AVENUE OF THE AMERICAS • NEW YORK, NY 10036-8795 • 212-852-7233 • FAX: 646-304-2612  
EMAIL: JKLEIN@NEWSCORP.COM

**JOEL I. KLEIN**  
CEO EDUCATIONAL DIVISION  
EXECUTIVE VICE PRESIDENT, OFFICE OF THE CHAIRMAN

May 2, 2012

Seth Andrew  
Founder and Superintendent  
Democracy Prep Public Schools  
207 West 133<sup>rd</sup> Street  
New York, NY 10030

Dear Secretary Duncan:

I am very excited that Democracy Prep Public Schools has requested my support in its application for Charter School Program Funds for Replication and Expansion. As Chancellor of the New York City Department of Education, I was proud to be a part of Democracy Prep's success in Harlem.

During my tenure, Democracy Prep was conceived and founded in 2005. My department gave the school "A" grades on the Chancellor's Progress Report each year since the school's founding, and by 2010, my department ranked Democracy Prep the top public middle school in all of New York City. All of its schools have received similar best-in-class results. Harlem Prep, New York City's first-ever charter-to-charter turnaround, is also a model for how to deal with failing charter schools.

Democracy Prep, now one of the foremost charter networks operating in New York, has proven that it can replicate its transformative model in Harlem, at brand new schools and at failing charter schools. I support its continued growth plans in Harlem and believe Democracy Prep will be successful in replicating its model in other high-need urban areas across the river in New Jersey and across the country.

I look forward to continuing to support Democracy Prep Public Schools on our joint mission to improve our nation's education system.

Sincerely,

A handwritten signature in black ink that reads "Joel Klein".

Joel Klein



**STATE OF LOUISIANA**  
**DEPARTMENT OF EDUCATION**  
**POST OFFICE BOX 94064, BATON ROUGE, LOUISIANA 70804-9064**

Toll Free #: 1-877-453-2721  
<http://www.louisianaschools.net>

May 1, 2012

Seth Andrew  
 Founder and Superintendent  
 Democracy Prep Public Schools  
 207 West 133<sup>rd</sup> Street  
 New York, NY 10030

Dear Secretary Duncan:

Democracy Prep Public Schools has requested my support in its application for Charter School Program Funds for Replication and Expansion. As the Louisiana State Superintendent, I am actively seeking out successful charter school networks like Democracy Prep to expand to my state. And as former deputy chancellor at the New York City Department of Education, I am proud to have been a part of Democracy Prep's success in Harlem.

During my tenure, Seth Andrew conceived and founded Democracy Prep in 2005. Democracy Prep received "A" grades on the New York City Chancellor's Progress Report each year since the school's founding, was ranked the top public middle school in all of New York City in 2010.

All of its schools have received similar best-in-class results. I am watching Harlem Prep, New York City's first-ever charter-to-charter turnaround, particularly closely, as it is a model for how to deal with failing charter schools in my state. Democracy Prep has a loose partnership in this area with a New Orleans based CMO, Crescent City Schools, that I would like to see grow with the support of CSP.

Democracy Prep has shown that it can successfully change a school culture from one of failure to one of success by working closely with the community and minimizing disruptions for families and students.

Now one of the foremost charter networks in New York, Democracy Prep, has proven that it can replicate its transformative model in Harlem, at brand new schools and at failing charter schools. I support its continued expansion through this grant and hope that Democracy Prep is able to join me to help in turning around Louisiana's lowest-performing schools.

Sincerely,

John White  
 State Superintendent of Education

***"Building A World-Class Education System In Louisiana"***



STATE OF TENNESSEE  
**DEPARTMENT OF EDUCATION**  
6<sup>th</sup> FLOOR, ANDREW JOHNSON TOWER  
710 JAMES ROBERTSON PARKWAY  
NASHVILLE, TN 37243-0375

**BILL HASLAM**  
GOVERNOR

**KEVIN HUFFMAN**  
COMMISSIONER

May 7, 2012

Seth Andrew  
Founder and Superintendent  
Democracy Prep Public Schools  
207 West 133<sup>rd</sup> Street  
New York, NY 10030

To Whom It May Concern:

I am writing to express my support of Democracy Prep Public Schools' accelerated growth and regional expansion plan for the next five years. As Commissioner of the Tennessee Department of Education, I am actively seeking out successful charter school networks like Democracy Prep to expand to Tennessee.

I have met with Seth Andrew and I am impressed by Democracy Prep's track record of solid results. Democracy Prep's flagship school has received "A" grades on the New York City Chancellor's Progress Report each year since the school's founding, was ranked the top public middle school in all of New York City in 2010.

All of its schools have received similar best-in-class results and I am specifically watching Harlem Prep, New York City's first-ever charter-to-charter turnaround, particularly closely. It has the potential to become a model for how to deal with failing charter schools. Democracy Prep has shown that it can successfully change a school culture from one of failure to one of success by working closely with the community and minimizing disruptions for families and students, something that the charter sector here in Tennessee and beyond greatly needs.

Democracy Prep, now one of the foremost charter networks in New York, has proven that it can replicate its transformative model in Harlem, at brand new schools and at failing charter schools. I enthusiastically support its continued expansion and hope that Democracy Prep decides to join me in turning around Tennessee's lowest-performing schools.

Sincerely,

Kevin Huffman



**Recy Benjamin Dunn**  
Executive Director  
Charter Schools Office  
Division of Portfolio Planning  
rdunn3@schools.nyc.gov  
<http://schools.nyc.gov/charters>

**52 Chambers Street**  
**Room 413**  
**New York, NY 10007**

**212 374 5419** tel  
**212 374 5761** fax

April 16, 2012  
Seth Andrew  
Founder and Superintendent  
Democracy Prep Public Schools  
207 West 133<sup>rd</sup> Street  
New York, NY 10030

Dear Mr. Andrew:

We are excited that Democracy Prep Public Schools has requested the NYC Department of Education's (NYCDOE) support of Democracy Prep Public Schools in its application for Charter School Program Funds for Replication and Expansion. The NYCDOE commends DPPS' work to serve the city's most underserved students, and supports the accelerated replication of DPPS' proven model to serve additional students.

If Democracy Prep is awarded the grant, this letter indicates the full endorsement of Democracy Prep Public Schools' proposal. Specifically, NYCDOE looks forward to supporting Democracy Prep Public Schools' replication and expansion in the following ways:

- Continuing to support and fairly review additional charter applications from Democracy Prep Public Schools
- Support replication of Democracy Prep Public Schools to provide high quality options for students in New York City
- Assisting in securing existing school facilities, at low or no cost when space is available as we do for all charter schools in New York City

As you know, NYCDOE has implemented core components of a portfolio district model over the last eight years, including opening more than 400 charter and district schools to replace large schools that were not preparing students for the rigorous demands of college or 21<sup>st</sup> century careers. The results from a rigorous, four-year experimental study showed dramatic, statistically significant improvement across all student subgroups.

In the coming years, NYCDOE is committed to providing better options to students through new small schools. These schools will serve a wide range of high-need students at both the middle and high school level, and high-performing charter schools like Democracy Prep Public Schools have a place in this portfolio district model.

We look forward to working with Democracy Prep Public Schools on our critical effort to improve the education experience for New York City's public school students.



Sincerely,

A handwritten signature in black ink that reads 'Recy Benjamin Dunn'. The signature is fluid and cursive, with a long horizontal stroke extending to the right.

Recy Benjamin Dunn



Education Innovation Laboratory  
at Harvard University

April 16, 2012

Dear Secretary Duncan:

We are excited that Democracy Prep Public Schools (DPPS) has requested the support of The Education Innovation Laboratory (EdLabs) at Harvard University in its application for Charter School Programs Funds for Replication and Expansion. EdLabs is currently working with DPPS to conduct an independent evaluation of this innovative organization's ability to produce high achievement.

This letter indicates EdLabs' strong interest, if DPPS is awarded a CSP grant, in continuing and extending our current work with DPPS, which includes an analysis of admissions lotteries, academic work and results, and interviews with school leaders, teachers, and students. The goal of this research is to better understand why some charters, like Democracy Prep, are able to produce high achievement so that other charter schools and public school districts as a whole can have better information on what practices and policies have the best chance at improving student performance.

As you may know, I founded EdLabs with a commitment to using a research and development model to determine the best methods to close the racial and socioeconomic achievement gap by 2025. EdLabs has made major contributions to our understanding of practices and policies with the best chances of improving student performance. Our team of educators, scientists, and implementers has produced research on innovations in regards to charter schools, cash incentives, and early-childhood development. We look forward to continuing our work with DPPS to do our part to ensure that the most effective methods to close the achievement gap are identified, evaluated, and replicated elsewhere.

Sincerely,

Roland G. Fryer, Jr.  
Robert M. Beren Professor of Economics  
Harvard University  
Founder and Principal Investigator, Education Innovation Laboratory



April 29, 2012

Dear Secretary Duncan:

I am writing to express the interest and intent of Building Excellent Schools (**BES**) to partner with **Democracy Prep Public Schools** (DPPS) in the development of **Leader U**. We are eager to support the application of Democracy Prep for the Charter Schools Program (CSP) for Replication and Expansion.

We are poised to collaborate with DPPS to:

- 1) Integrate BES' **Emerging Leaders (EL) and Leadership for Emerging Networks (LENS)** into the Leader U schedule and curriculum, by admitting Leader U participants into our program and to allow them to tailor their instructional opportunities to those most relevant to instructional leadership of startup and turnaround schools - as identified in the application.
- 2) Provide rigorous professional development support to Leader U participants during their Residency at a Democracy Prep Public School.
- 3) Work closely with DPPS to provide the best possible instruction to Leader U participants preparing them to transform and turnaround the region's lowest performing schools.

We believe that a lack of excellent school leaders is the major limitation on the growth of high-performing public charter schools. The growth of **Leader U** is essential to expanding the human capital pipeline for school leaders, and to providing best-in-class instruction, professional development, and technical assistance to those most able to lead schools in the region's most underserved communities.

We are confident the application of Democracy Prep Public Schools is strong, solid and well-positioned for long-term success. Not only for the students of New York but also for those scholars most in need of excellent schools and unparalleled school leaders.

Sincerely,

Linda Brown  
Building Excellent Schools  
CEO and Founder

One day, all children in this nation will have the opportunity to attain an excellent education.



May 2, 2012

Dear Secretary Duncan,

I am writing to express Teach For America - New York's support of Democracy Prep Public Schools's (DPPS) application for a Charter Schools Program Replication and Expansion Grant from your department.

As laid out in their application, we intend to collaborate with DPPS in the following ways:

1. Work with DPPS to ensure that Teach For America corps members are hired into proposed new Democracy Prep schools where we have a TFA presence.
2. Publicize turnaround schools as a unique and challenging opportunity for interested TFA alumni.
3. Encourage Teach for America alumni to apply to the *Leader U* program through Democracy Prep and Building Excellent Schools.

We believe that only with excellent teachers and school leaders will we be able to grow the number of high-performing public schools in our country. The growth of programs like *Leader U* is essential to expanding the leadership and talent pipeline for teachers and school leaders, and to providing best-in-class instruction, professional development, and technical assistance to those most able to lead schools in our country's most underserved communities.

We are strong partners of Democracy Prep, and we are confident that their application is strong and well-positioned for long-term success for the students of New York who are most in need of excellent schools, school leaders, and teachers.

Sincerely,

Jeff Li

Executive Director

Teach for America - New York



AN AMERICORPS PROGRAM

519 8th Avenue, 23rd Floor • New York, NY 10018 • P 212.279.2080 | 212.279.2081 • [www.teachforamerica.org](http://www.teachforamerica.org)

**The Louis Calder Foundation**  
125 ELM STREET  
NEW CANAAN, CT 06840

TRUSTEES

PETER D. CALDER  
FRANK E. SHANLEY  
JPMORGAN CHASE BANK, N.A.

April 30, 2012

Seth Andrew  
Founder and Superintendent  
Democracy Prep Public Schools  
207 West 133<sup>rd</sup> Street  
New York, New York 10030

Dear Mr. Andrew:

We are pleased to endorse Democracy Prep Public Schools' application for Charter School Program Funds for Replication and Expansion. The Foundation commends DPPS' work to serve New York's most underserved students, and supports the replication of DPPS' proven model to serve additional students in need of excellent educational alternatives.

The Louis Calder Foundation is a new supporter of Democracy Prep. The Foundation's recent grant award will support your expansion and replication efforts over two years. We are convinced that, based on your past record of success, Democracy Prep has demonstrated that your model is a proven method to improve the education experience for underserved students.

We look forward to working with Democracy Prep to achieve your expansion and replication goals.

Sincerely,



Holly Nuechterlein  
Grant Program Manager

## **Charles Hayden Foundation**

140 Broadway · 51st Floor · New York, NY 10005 · Tel: 212 785-3677 · Fax: 212 785-3689

April 16, 2012

Seth Andrew  
Founder and Superintendent  
Democracy Prep Public Schools  
207 West 133<sup>rd</sup> Street  
New York, New York 10030

Dear Mr. Andrew:

We are excited that Democracy Prep Public Schools has requested the Charles Hayden Foundation's support of Democracy Prep Public Schools in its application for Charter School Program Funds for Replication and Expansion. The Foundation commends DPPS' work to serve New York's most underserved students, and supports the replication of DPPS' proven model to serve additional students in need of excellent educational alternatives.

The Charles Hayden Foundation is a supporter of Democracy Prep, and has been following its growth from inception. While Hayden Foundation grants are competitive, we expect to continue to support high quality replication of public charter schools, including Democracy Prep Public Schools over the next five years if it maintains and improves its high quality programs.

If Democracy Prep is awarded the grant, this letter indicates the endorsement of Democracy Prep Public Schools' proposal and our desire to work with them to meet the ensure the objectives of this project are met.

We look forward to working with Democracy Prep Public Schools on our critical effort to improve the education experience for public school students.

Sincerely,



Carol Van Atten  
Vice President of Programs

**F. Supplemental Organizational Budgets and Financial Information**

**1. Multi-Year Organizational Budget**

Included in this section are the School Growth Timeline, DPPS Staff Build-up, CSP-RE Eligibility, Model Inputs, CMO Profits and Losses, CMO Balance Sheet, Model Output, and Cash Flow tabs of the DPPS multi-year financial model.

OTHER ATTACHMENTS FORM

DPPS

School Growth Timeline

Page 1

School Name	Growth Type	Project Year 0 2011-12			Project Year 1 2012-13			Project Year 2 2013-14			Project Year 3 2014-15			Project Year 4 2015-16			Project Year 5 2016-17			PROJECT PERIOD 2012-2017
		T Minus Opening	Grades	Enroll.																
Democracy Prep Charter Middle	No growth	5	6-8	324	6	6-8	324	7	6-8	324	8	6-8	324	9	6-8	324	10	6-8	324	0
Democracy Prep Charter High	Expansion	2	9-11	243	3	9-12	351	4	9-12	402	5	9-12	402	6	9-12	402	7	9-12	402	159
Democracy Prep Harlem Middle	No growth	1	6-7	216	2	6-8	324	3	6-8	324	4	6-8	324	5	6-8	324	6	6-8	324	108*
Harlem Prep Elementary	Expansion	0	K-5	270	1	K-5	324	2	K-5	351	3	K-5	378	4	K-5	405	5	K-5	432	162
Democracy Prep Endurance Middle	Replication, Demand	-1	--	0	0	6	108	1	6-7	216	2	6-8	324	3	6-8	324	4	6-8	324	324
Harlem Prep Middle	Replication, Demand	-1	--	0	0	6	108	1	6-7	216	2	6-8	324	3	6-8	324	4	6-8	324	324
NJ Charter Turnaround #1	Replication, Acquisition	-1	--	0	0	4-8	300	1	4-8	300	2	4-8	300	3	4-8	300	4	4-8	300	300
NYC Charter Turnaround #1	Replication, Acquisition	-2	--	0	-1	--	0	0	K-4	270	1	K-4	270	2	K-4	270	3	K-4	270	270
Democracy Prep Charter Elementary	Replication, Demand	-2	--	0	-1	--	0	0	K-1	162	1	K-2	243	2	K-3	324	3	K-4	405	405
Democracy Prep Harlem High	Replication, Demand	-3	--	0	-2	--	0	-1	--	0	0	9	108	1	9-10	216	2	9-11	314	314
NJ Charter Turnaround #2	Replication, Acquisition	-3	--	0	-2	--	0	-1	--	0	0	5-8	240	1	5-8	240	2	5-8	240	240
Democracy Prep NJ High	Replication, Demand	-3	--	0	-2	--	0	-1	--	0	0	9	108	1	9-10	216	2	9-11	314	314
Harlem Prep High	Replication, Demand	-4	--	0	-3	--	0	-2	--	0	-1	--	0	0	9	108	1	9-10	208	208
NYC Charter Turnaround #2	Replication, Acquisition	-4	--	0	-3	--	0	-2	--	0	-1	--	0	0	5-8	300	1	5-8	300	300
NJ Charter Turnaround #3	Replication, Acquisition	-5	--	0	-4	--	0	-3	--	0	-2	--	0	-1	--	0	0	5-8	300	300
Democracy Prep Harlem Elementary	Replication, Demand	-5	--	0	-4	--	0	-3	--	0	-2	--	0	-1	--	0	0	K-1	108	108
Democracy Prep NJ Elementary	Replication, Demand	-5	--	0	-4	--	0	-3	--	0	-2	--	0	-1	--	0	0	K-1	108	108
	Growth	Project Year 0			Project Year 1			Project Year 2			Project Year 3			Project Year 4			Project Year 5			PROJECT PERIOD

Salary Increase Assumption		2013				2014				2015				2016				2017			
Staffing Assumptions		Avg.	Staff	New	Cost	Avg.	Staff	New	Cost	Avg.	Staff	New	Cost	Avg.	Staff	New	Cost	Avg.	Staff	New	Cost
<b>OFFICE OF THE SUPERINTENDENT</b>																					
<b>Chiefs</b>	\$ 250,000	1.0		\$ 250,000	\$ 257,500	2.0		\$ 515,000	\$ 265,225	2.0		\$ 530,450	\$ 273,182	2.0		\$ 546,364	\$ 281,377	2.0		\$ 562,754	
<b>MD or ED</b>	\$ 135,000	1.0		\$ 135,000	\$ 139,050	1.0		\$ 139,050	\$ 143,222	1.0		\$ 143,222	\$ 147,518	1.0		\$ 147,518	\$ 151,944	1.0		\$ 151,944	
<b>EVP or SD</b>	\$ 97,850			\$ 100,786	\$ 100,786			\$ 103,809	\$ 103,809			\$ 106,923	\$ 106,923			\$ 110,131	\$ 110,131			\$ 113,339	
<b>Director or VP</b>	\$ 82,400			\$ 84,872	\$ 84,872			\$ 87,418	\$ 87,418			\$ 90,041	\$ 90,041			\$ 92,742	\$ 92,742			\$ 95,527	
<b>Coordinator or Assistant Director</b>	\$ 72,100	1.0		\$ 74,263	\$ 74,263	2.0		\$ 76,491	\$ 76,491	2.0		\$ 78,786	\$ 78,786	3.0		\$ 81,149	\$ 81,149	4.0		\$ 83,597	
<b>Manager</b>	\$ 66,950			\$ 68,959	\$ 68,959			\$ 71,027	\$ 71,027			\$ 73,158	\$ 73,158			\$ 75,353	\$ 75,353			\$ 77,604	
<b>Associate</b>	\$ 51,500			\$ 53,045	\$ 53,045	1.0		\$ 54,636	\$ 54,636	2.0		\$ 56,275	\$ 56,275	1.0		\$ 57,964	\$ 57,964	1.0		\$ 59,704	
<b>Assistant</b>	\$ 46,350	2.0		\$ 92,700	\$ 47,741	3.0		\$ 143,222	\$ 49,173	3.0		\$ 147,518	\$ 50,648	3.0		\$ 151,944	\$ 52,167	3.0		\$ 156,502	
<b>TOTAL</b>	<b>5.0</b>	<b>2.0</b>		<b>\$ 345,050</b>	<b>5.0</b>	<b>1.0</b>		<b>\$ 419,056</b>	<b>5.0</b>	<b>0.0</b>		<b>\$ 442,554</b>	<b>5.0</b>	<b>0.0</b>		<b>\$ 478,341</b>	<b>5.0</b>	<b>2.0</b>		<b>\$ 508,972</b>	
<b>FINANCE</b>																					
<b>Chiefs</b>	\$ 123,600	0.0		\$ 123,600	\$ 127,308	1.0		\$ 127,308	\$ 131,127	1.0		\$ 131,127	\$ 135,061	1.0		\$ 135,061	\$ 139,113	1.0		\$ 139,113	
<b>MD or ED</b>	\$ 103,000	0.0		\$ 103,000	\$ 106,090			\$ 106,090	\$ 109,273	1.0		\$ 109,273	\$ 112,551			\$ 112,551	\$ 115,927			\$ 115,927	
<b>EVP or SD</b>	\$ 97,850			\$ 100,786	\$ 100,786	1.0		\$ 100,786	\$ 103,809			\$ 103,809	\$ 106,923			\$ 106,923	\$ 110,131			\$ 110,131	
<b>Director or VP</b>	\$ 82,400	1.0		\$ 82,400	\$ 84,872	1.0		\$ 84,872	\$ 87,418	1.0		\$ 87,418	\$ 90,041			\$ 90,041	\$ 92,742			\$ 95,527	
<b>Coordinator or Assistant Director</b>	\$ 72,100	2.0		\$ 144,200	\$ 74,263	2.0		\$ 148,526	\$ 76,491	2.0		\$ 152,982	\$ 78,786	3.0		\$ 236,357	\$ 81,149	4.0		\$ 324,597	
<b>Manager</b>	\$ 66,950	1.0		\$ 66,950	\$ 68,959	1.0		\$ 68,959	\$ 71,027	1.0		\$ 71,027	\$ 73,158			\$ 73,158	\$ 75,353			\$ 77,604	
<b>Associate</b>	\$ 51,500	1.0		\$ 51,500	\$ 53,045	1.0		\$ 53,045	\$ 54,636	2.0		\$ 109,273	\$ 56,275	1.0		\$ 56,275	\$ 57,964	1.0		\$ 59,704	
<b>Assistant</b>	\$ 46,350			\$ 46,350	\$ 47,741	1.0		\$ 47,741	\$ 49,173			\$ 49,173	\$ 50,648	1.0		\$ 50,648	\$ 52,167	1.0		\$ 52,167	
<b>TOTAL</b>	<b>9.0</b>	<b>5.0</b>		<b>\$ 710,700</b>	<b>9.0</b>	<b>0.0</b>		<b>\$ 732,021</b>	<b>10.0</b>	<b>1.0</b>		<b>\$ 825,009</b>	<b>10.0</b>	<b>2.0</b>		<b>\$ 1,035,468</b>	<b>10.0</b>	<b>0.0</b>		<b>\$ 1,072,339</b>	
<b>ACADEMICS</b>																					
<b>Chiefs</b>	\$ 123,600	1.0		\$ 123,600	\$ 127,308	1.0		\$ 127,308	\$ 131,127	1.0		\$ 131,127	\$ 135,061	1.0		\$ 135,061	\$ 139,113	1.0		\$ 139,113	
<b>MD or Asst. Sup.</b>	\$ 103,000			\$ 103,000	\$ 106,090			\$ 106,090	\$ 109,273			\$ 109,273	\$ 112,551			\$ 112,551	\$ 115,927			\$ 115,927	
<b>EVP or SD</b>	\$ 97,850			\$ 100,786	\$ 100,786			\$ 103,809	\$ 103,809			\$ 106,923	\$ 106,923			\$ 110,131	\$ 110,131			\$ 113,339	
<b>Director or VP</b>	\$ 82,400	4.0		\$ 329,600	\$ 84,872	4.0		\$ 339,488	\$ 87,418	4.0		\$ 349,673	\$ 90,041	4.0		\$ 360,163	\$ 92,742	4.0		\$ 370,968	
<b>Coordinator or Assistant Director</b>	\$ 72,100	2.0		\$ 144,200	\$ 74,263	2.0		\$ 148,526	\$ 76,491	2.0		\$ 152,982	\$ 78,786	3.0		\$ 236,357	\$ 81,149	3.0		\$ 243,448	
<b>Manager</b>	\$ 66,950	1.0		\$ 66,950	\$ 68,959	1.0		\$ 68,959	\$ 71,027	2.0		\$ 142,056	\$ 73,158	2.0		\$ 146,316	\$ 75,353	2.0		\$ 150,706	
<b>Associate</b>	\$ 51,500	1.0		\$ 51,500	\$ 53,045	1.0		\$ 54,636	\$ 54,636			\$ 56,275	\$ 56,275			\$ 57,964	\$ 57,964			\$ 59,704	
<b>Assistant</b>	\$ 46,350	1.0		\$ 46,350	\$ 47,741	1.0		\$ 47,741	\$ 49,173	1.0		\$ 49,173	\$ 50,648	1.0		\$ 50,648	\$ 52,167	1.0		\$ 52,167	
<b>TOTAL</b>	<b>9.0</b>	<b>5.0</b>		<b>\$ 710,700</b>	<b>9.0</b>	<b>0.0</b>		<b>\$ 732,021</b>	<b>10.0</b>	<b>1.0</b>		<b>\$ 825,009</b>	<b>10.0</b>	<b>2.0</b>		<b>\$ 1,035,468</b>	<b>10.0</b>	<b>0.0</b>		<b>\$ 1,072,339</b>	
<b>OPERATIONS</b>																					
<b>Chiefs</b>	\$ 123,600	1.0		\$ 123,600	\$ 127,308	1.0		\$ 127,308	\$ 131,127	1.0		\$ 131,127	\$ 135,061	1.0		\$ 135,061	\$ 139,113	1.0		\$ 139,113	
<b>MD or ED</b>	\$ 103,000			\$ 103,000	\$ 106,090			\$ 106,090	\$ 109,273			\$ 109,273	\$ 112,551			\$ 112,551	\$ 115,927			\$ 115,927	
<b>EVP or SD</b>	\$ 97,850	1.0		\$ 97,850	\$ 100,786	1.0		\$ 100,786	\$ 103,809	1.0		\$ 103,809	\$ 106,923	1.0		\$ 106,923	\$ 110,131	1.0		\$ 110,131	
<b>Director or VP</b>	\$ 82,400	1.0		\$ 82,400	\$ 84,872	1.0		\$ 84,872	\$ 87,418	1.0		\$ 87,418	\$ 90,041	2.0		\$ 90,041	\$ 92,742	2.0		\$ 95,527	
<b>Coordinator or Assistant Director</b>	\$ 72,100	1.0		\$ 72,100	\$ 74,263	1.0		\$ 74,263	\$ 76,491	1.0		\$ 76,491	\$ 78,786	1.0		\$ 78,786	\$ 81,149	1.0		\$ 83,597	
<b>Manager</b>	\$ 66,950	1.0		\$ 66,950	\$ 68,959	1.0		\$ 68,959	\$ 71,027	2.0		\$ 142,056	\$ 73,158	2.0		\$ 146,316	\$ 75,353	3.0		\$ 226,058	
<b>Associate</b>	\$ 51,500	3.0		\$ 154,500	\$ 53,045	3.0		\$ 159,135	\$ 54,636	4.0		\$ 218,545	\$ 56,275	5.0		\$ 281,377	\$ 57,964	5.0		\$ 289,819	
<b>Assistant</b>	\$ 46,350	1.0		\$ 46,350	\$ 47,741			\$ 49,173	\$ 49,173			\$ 50,648	\$ 50,648			\$ 52,167	\$ 52,167			\$ 52,167	
<b>TOTAL</b>	<b>6.0</b>	<b>2.0</b>		<b>\$ 391,400</b>	<b>5.0</b>	<b>0.0</b>		<b>\$ 419,056</b>	<b>6.0</b>	<b>1.0</b>		<b>\$ 568,118</b>	<b>6.0</b>	<b>2.0</b>		<b>\$ 664,050</b>	<b>6.0</b>	<b>0.0</b>		<b>\$ 683,972</b>	
<b>TALENT</b>																					
<b>Chiefs</b>	\$ 123,600	1.0		\$ 123,600	\$ 127,308	1.0		\$ 127,308	\$ 131,127	1.0		\$ 131,127	\$ 135,061	1.0		\$ 135,061	\$ 139,113	1.0		\$ 139,113	
<b>MD or ED</b>	\$ 103,000			\$ 103,000	\$ 106,090			\$ 106,090	\$ 109,273			\$ 109,273	\$ 112,551			\$ 112,551	\$ 115,927			\$ 115,927	
<b>EVP or SD</b>	\$ 97,850			\$ 100,786	\$ 100,786			\$ 103,809	\$ 103,809			\$ 106,923	\$ 106,923			\$ 110,131	\$ 110,131			\$ 113,339	
<b>Director or VP</b>	\$ 82,400	1.0		\$ 82,400	\$ 84,872	1.0		\$ 84,872	\$ 87,418	1.0		\$ 87,418	\$ 90,041			\$ 90,041	\$ 92,742			\$ 95,527	
<b>Coordinator or Assistant Director</b>	\$ 72,100	1.0		\$ 72,100	\$ 74,263	1.0		\$ 74,263	\$ 76,491	1.0		\$ 76,491	\$ 78,786	2.0		\$ 157,571	\$ 81,149	2.0		\$ 162,298	
<b>Manager</b>	\$ 66,950	1.0		\$ 66,950	\$ 68,959	2.0		\$ 137,917	\$ 71,027	2.0		\$ 142,056	\$ 73,158	2.0		\$ 146,316	\$ 75,353	3.0		\$ 226,058	
<b>Associate</b>	\$ 51,500	3.0		\$ 154,500	\$ 53,045	3.0		\$ 159,135	\$ 54,636	4.0		\$ 218,545	\$ 56,275	5.0		\$ 281,377	\$ 57,964	5.0		\$ 289,819	
<b>Assistant</b>	\$ 46,350	1.0		\$ 46,350	\$ 47,741			\$ 49,173	\$ 49,173			\$ 50,648	\$ 50,648			\$ 52,167	\$ 52,167			\$ 52,167	
<b>TOTAL</b>	<b>6.0</b>	<b>2.0</b>		<b>\$ 375,850</b>	<b>7.0</b>	<b>1.0</b>		<b>\$ 472,101</b>	<b>8.0</b>	<b>1.0</b>		<b>\$ 546,364</b>	<b>9.0</b>	<b>1.0</b>		<b>\$ 647,168</b>	<b>10.0</b>	<b>1.0</b>		<b>\$ 745,121</b>	
<b>KNOWLEDGE</b>																					
<b>Chiefs</b>	\$ 123,600			\$ 123,600	\$ 127,308			\$ 127,308	\$ 131,127			\$ 131,127	\$ 135,061			\$ 135,061	\$ 139,113			\$ 139,113	
<b>MD or ED</b>	\$ 103,000			\$ 103,000	\$ 106,090			\$ 106,090	\$ 109,273			\$ 109,273	\$ 112,551			\$ 112,551	\$ 115,927			\$ 115,927	
<b>EVP or SD</b>	\$ 97,850	1.0		\$ 97,850	\$ 100,786	1.0		\$ 100,786	\$ 103,809	1.0		\$ 103,809	\$ 106,923	1.0		\$ 106,923	\$ 110,131	1.0		\$ 110,131	
<b>Director or VP</b>	\$ 82,400			\$ 82,400	\$ 84,872			\$ 84,872	\$ 87,418			\$ 87,418	\$ 90,041			\$ 90,041	\$ 92,742			\$ 95,527	
<b>Coordinator or Assistant Director</b>	\$ 72,100	1.0		\$ 72,100	\$ 74,263	1.0		\$ 74,263	\$ 76,491	1.0		\$ 76,491	\$ 78,786	2.0		\$ 157,571	\$ 81,149	2.0		\$ 162,298	
<b>Manager</b>	\$ 66,950			\$ 66,950	\$ 68,959			\$ 68,959	\$ 71,027			\$ 71,027	\$ 73,158			\$ 73,158	\$ 75,353			\$ 77,604	
<b>Associate</b>	\$ 51,500	2.0		\$ 103,000	\$ 53,045	3.0		\$ 159,135	\$ 54,636	3.0		\$ 163,909	\$ 56,275	4.0		\$ 225,104	\$ 57,964	5.0		\$ 289,819	
<b>Assistant</b>	\$ 46,350			\$ 46,350	\$ 47,741			\$ 49,173	\$ 49,173			\$ 50,648	\$ 50,648			\$ 52,167	\$ 52,167			\$ 52,167	
<b>TOTAL</b>	<b>4.0</b>	<b>1.0</b>		<b>\$ 272,850</b>	<b>6.0&lt;/</b>																

		Per student funding eligibility	Max CSP eligibility
Democracy Prep Charter Middle	No growth	0	0
Democracy Prep Charter High	Expansion	\$3,000	\$477,000
Democracy Prep Harlem Middle	No growth	\$0	\$0
Harlem Prep Elementary	Expansion	\$3,000	\$486,000
Democracy Prep Endurance Middle	Replication, Demand	\$0	\$0
Harlem Prep Middle	Replication, Demand	\$3,000	\$800,000
NJ Charter Turnaround #1	Replication, Acquisition	\$3,000	\$800,000
NYC Charter Turnaround #1	Replication, Acquisition	\$3,000	\$800,000
Democracy Prep Charter Elementary	Replication, Demand	\$3,000	\$800,000
Democracy Prep Harlem High	Replication, Demand	\$3,000	\$800,000
NJ Charter Turnaround #2	Replication, Acquisition	\$3,000	\$720,000
Democracy Prep NJ High	Replication, Demand	\$3,000	\$800,000
Harlem Prep High	Replication, Demand	\$3,000	\$624,000
NYC Charter Turnaround #2	Replication, Acquisition	\$3,000	\$800,000
NJ Charter Turnaround #3	Replication, Acquisition	\$3,000	\$800,000
Democracy Prep Harlem Elementary	Replication, Demand	\$3,000	\$324,000
Democracy Prep NJ Elementary	Replication, Demand	\$3,000	\$324,000
ALL SCHOOLS	Total	n/a	\$9,355,000

Democracy Prep Public Schools - Charter Management Organization Financial Model						
Model Inputs						
Variable number: Input	100.0%	Blue				
Base number: Input	100.0%	Brown				
Calculation: No Input	100.0%	Black				
Unrestricted Revenue Assumptions		year 1	year 2	year 3	year 4	year 5
School Portfolio	Base	2013	2014	2015	2016	2017
Input % annual per pupil revenue increase		0.0%	0.0%	0.0%	0.0%	0.0%
Input Federal Special Education Aid % increase		0.0%	1.0%	1.0%	1.0%	1.0%
Input Local Special Education Aid % increase		0.0%	1.0%	1.0%	1.0%	1.0%
Input Title 1 Funding % increase		0.0%	1.0%	1.0%	1.0%	1.0%
<i>New York City</i>						
<b>Democracy Prep Charter Middle</b>						
Total Enrollment	324	324	324	324	324	324
Number of Students Special Education eligible	15%	49	49	49	49	49
Number of Students Title 1 eligible	80%	259	259	259	259	259
% annual enrollment increase		0.0%	0.0%	0.0%	0.0%	0.0%
<b>Total Revenue</b>		<b>5,077,971.00</b>	<b>5,837,657.46</b>	<b>5,934,475.42</b>	<b>5,836,619.57</b>	<b>5,932,819.20</b>
<b>Management Fee Percentage</b>	12	12%	12%	12%	12%	12%
<b>CMO Management Fee Revenue</b>		<b>609,356.52</b>	<b>700,518.90</b>	<b>712,137.05</b>	<b>700,394.35</b>	<b>711,938.30</b>
<b>Democracy Prep Charter High</b>						
Total Enrollment	243	351	402	402	402	402
Number of Students Special Education eligible	15%	53	60	60	60	60
Number of Students Title 1 eligible	80%	281	322	322	322	322
% annual enrollment increase		44.4%	14.5%	0.0%	0.0%	0.0%
<b>Total Revenue</b>		<b>5,501,135.25</b>	<b>6,309,179.96</b>	<b>6,318,001.75</b>	<b>6,326,911.77</b>	<b>6,335,910.89</b>
<b>Management Fee Percentage</b>		12.0%	12.0%	12.0%	12.0%	12.0%
<b>CMO Management Fee Revenue</b>		<b>660,136.23</b>	<b>757,101.59</b>	<b>758,160.21</b>	<b>759,229.41</b>	<b>760,309.31</b>
<b>Democracy Prep Harlem Middle</b>						
Total Enrollment	216	324	324	324	324	324
Number of Students Special Education eligible	15%	49	49	49	49	49
Number of Students Title 1 eligible	80%	259	259	259	259	259
% annual enrollment increase		50.0%	0.0%	0.0%	0.0%	0.0%
<b>Total Revenue</b>		<b>5,077,971.00</b>	<b>5,085,010.71</b>	<b>5,092,120.82</b>	<b>5,099,302.03</b>	<b>5,106,555.05</b>
<b>Management Fee Percentage</b>		14.0%	13.5%	13.0%	12.5%	12.0%
<b>CMO Management Fee Revenue</b>		<b>710,915.94</b>	<b>686,476.45</b>	<b>661,975.71</b>	<b>637,412.75</b>	<b>612,766.61</b>
<b>Harlem Prep Elementary</b>						
Total Enrollment	270	324	351	378	405	432
Number of Students Special Education eligible	15%	49	53	57	61	65
Number of Students Title 1 eligible	80%	259	281	302	324	346
% annual enrollment increase		20.0%	8.3%	7.7%	7.1%	6.7%
<b>Total Revenue</b>		<b>5,077,971.00</b>	<b>5,508,761.60</b>	<b>5,940,807.62</b>	<b>6,374,127.53</b>	<b>6,808,740.06</b>
<b>Management Fee Percentage</b>		15.0%	14.5%	14.0%	13.5%	13.0%
<b>CMO Management Fee Revenue</b>		<b>761,695.65</b>	<b>798,770.43</b>	<b>831,713.07</b>	<b>860,507.22</b>	<b>885,136.21</b>
<b>Democracy Prep Endurance Middle</b>						
Total Enrollment	0	108	216	324	324	324
Number of Students Special Education eligible	15%	16	32	49	49	49
Number of Students Title 1 eligible	80%	86	173	259	259	259
% annual enrollment increase		-	100.0%	50.0%	0.0%	0.0%
<b>Total Revenue</b>		<b>1,692,657.00</b>	<b>3,390,007.14</b>	<b>5,092,120.82</b>	<b>5,099,302.03</b>	<b>5,106,555.05</b>
<b>Management Fee Percentage</b>		15.0%	14.5%	14.0%	13.5%	13.0%
<b>CMO Management Fee Revenue</b>		<b>253,898.55</b>	<b>491,551.04</b>	<b>712,896.91</b>	<b>688,405.77</b>	<b>663,852.16</b>
<b>Harlem Prep Middle</b>						
Total Enrollment	0	108	216	324	324	324
Number of Students Special Education eligible	15%	16	32	49	49	49
Number of Students Title 1 eligible	80%	86	173	259	259	259
% annual enrollment increase	80%	-	100.0%	50.0%	0.0%	0.0%
<b>Total Revenue</b>		<b>1,692,657.00</b>	<b>3,390,007.14</b>	<b>5,092,120.82</b>	<b>5,099,302.03</b>	<b>5,106,555.05</b>
<b>Management Fee Percentage</b>		15.0%	14.5%	14.0%	13.5%	13.0%
<b>CMO Management Fee Revenue</b>		<b>253,898.55</b>	<b>491,551.04</b>	<b>712,896.91</b>	<b>688,405.77</b>	<b>663,852.16</b>
<b>NYC Charter Turnaround #1</b>						
Total Enrollment	0	0	270	270	270	270
Number of Students Special Education eligible	15%	0	41	41	41	41
Number of Students Title 1 eligible	80%	0	216	216	216	216
% annual enrollment increase		-	-	0.0%	0.0%	0.0%
<b>Total Revenue</b>		<b>-</b>	<b>4,237,508.93</b>	<b>4,243,434.01</b>	<b>4,249,418.35</b>	<b>4,255,462.54</b>
<b>Management Fee Percentage</b>		15.0%	15.0%	15.0%	14.5%	14.0%
<b>CMO Management Fee Revenue</b>		<b>-</b>	<b>635,626.34</b>	<b>636,515.10</b>	<b>616,165.66</b>	<b>595,764.76</b>
<b>Democracy Prep Charter Elementary</b>						

OTHER ATTACHMENTS FORM

DPPS

<b>Prep High</b>						
Total Enrollment	0	0	162	243	324	405
Number of Students Special Education eligible	15%	0	24	36	49	61
Number of Students Title 1 eligible	80%	0	130	194	259	324
% annual enrollment increase		-	-	50.0%	33.3%	26.0%
<b>Total Revenue</b>			<b>2,542,505.36</b>	<b>3,819,090.61</b>	<b>5,099,302.03</b>	<b>6,383,193.81</b>
<b>Management Fee Percentage</b>		12.0%	12.0%	12.0%	12.0%	12.0%
<b>CMO Management Fee Revenue</b>		-	305,100.64	458,290.87	611,916.24	765,983.26
<b>Democracy Prep Harlem High</b>						
Total Enrollment	0	0	0	108	216	314
Number of Students Special Education eligible	15%	0	0	16	32	47
Number of Students Title 1 eligible	80%	0	0	86	173	251
% annual enrollment increase		-	-	-	100.0%	45.4%
<b>Total Revenue</b>				<b>1,697,373.61</b>	<b>3,399,534.68</b>	<b>4,948,945.32</b>
<b>Management Fee Percentage</b>		14.0%	13.5%	13.0%	12.5%	12.0%
<b>CMO Management Fee Revenue</b>		-	-	220,658.57	424,941.84	593,873.44
<b>Harlem Prep High</b>						
Total Enrollment	0	0	0	0	108	208
Number of Students Special Education eligible	15%	0	0	0	16	31
Number of Students Title 1 eligible	80%	0	0	0	86	166
% annual enrollment increase		-	-	-	-	92.6%
<b>Total Revenue</b>					<b>1,699,767.34</b>	<b>3,278,282.25</b>
<b>Management Fee Percentage</b>		15.0%	14.5%	14.0%	13.5%	13.0%
<b>CMO Management Fee Revenue</b>		-	-	-	229,468.59	426,176.69
<b>NYC Charter Turnaround #2</b>						
Total Enrollment	0	0	0	0	300	300
Number of Students Special Education eligible	15%	0	0	0	45	45
Number of Students Title 1 eligible	80%	0	0	0	240	240
% annual enrollment increase		-	-	-	-	0.0%
<b>Total Revenue</b>					<b>4,721,575.95</b>	<b>4,728,291.71</b>
<b>Management Fee Percentage</b>		15.0%	15.0%	15.0%	15.0%	15.0%
<b>CMO Management Fee Revenue</b>		-	-	-	708,236.39	709,243.76
<b>Democracy Prep Harlem Elementary</b>						
Total Enrollment	0	0	0	0	0	108
Number of Students Special Education eligible	15%	0	0	0	0	16
Number of Students Title 1 eligible	80%	0	0	0	0	86
% annual enrollment increase		-	-	-	-	#DIV/0!
<b>Total Revenue</b>						<b>1,702,185.02</b>
<b>Management Fee Percentage</b>		-	-	-	-	12.5%
<b>CMO Management Fee Revenue</b>		-	-	-	-	212,773.13
<b>New Jersey</b>						
<b>New Jersey Turnaround #1</b>						
Total Enrollment	0	300	300	300	300	300
Number of Students Special Education eligible	15%	45	45	45	45	45
Number of Students Title 1 eligible	80%	240	240	240	240	240
% annual enrollment increase		-	0.0%	0.0%	0.0%	0.0%
<b>Total Revenue</b>		<b>5,134,275.00</b>	<b>5,136,117.75</b>	<b>5,137,978.93</b>	<b>5,139,858.72</b>	<b>5,141,757.30</b>
<b>Management Fee Percentage</b>		15.0%	15.0%	14.5%	14.0%	13.5%
<b>CMO Management Fee Revenue</b>		770,141.25	770,417.66	745,006.94	719,580.22	694,137.24
<b>New Jersey Turnaround #2</b>						
Total Enrollment	0	0	0	240	240	240
Number of Students Special Education eligible	15%	0	0	36	36	36
Number of Students Title 1 eligible	80%	0	0	192	192	192
% annual enrollment increase		-	-	-	0.0%	0.0%
<b>Total Revenue</b>				<b>4,110,383.14</b>	<b>4,111,886.97</b>	<b>4,113,405.84</b>
<b>Management Fee Percentage</b>		15.0%	15.0%	15.0%	15.0%	14.5%
<b>CMO Management Fee Revenue</b>		-	-	616,557.47	616,783.05	596,443.85
<b>Democracy Prep NJ High School</b>						
Total Enrollment	0	0	0	108	216	314
Number of Students Special Education eligible	15%	0	0	16	32	47
Number of Students Title 1 eligible	80%	0	0	86	173	251
% annual enrollment increase		-	-	-	100.0%	45.4%
<b>Total Revenue</b>				<b>1,849,672.41</b>	<b>3,700,698.28</b>	<b>5,381,705.98</b>
<b>Management Fee Percentage</b>		15.0%	15.0%	14.5%	14.0%	13.5%
<b>CMO Management Fee Revenue</b>		-	-	268,202.50	518,097.76	726,530.31
<b>New Jersey Turnaround #3</b>						
Total Enrollment	0	0	0	0	0	300
Number of Students Special Education eligible	15%	0	0	0	0	45
Number of Students Title 1 eligible	80%	0	0	0	0	240
% annual enrollment increase		-	-	-	-	-
<b>Total Revenue</b>						<b>5,141,757.30</b>
<b>Management Fee Percentage</b>		15.0%	15.0%	15.0%	15.0%	15.0%
<b>CMO Management Fee Revenue</b>		-	-	-	-	771,263.60
<b>Democracy Prep New Jersey Elementary</b>						

OTHER ATTACHMENTS FORM

DPPS

Total Enrollment	0	0	0	0	0	108
Number of Students Special Education eligible	15%	0	0	0	0	16
Number of Students Title 1 eligible	80%	0	0	0	0	86
% annual enrollment increase		-	-	-	-	-
<b>Total Revenue</b>						<b>1,851,032.63</b>
Management Fee Percentage		15.0%	15.0%	15.0%	15.0%	15.0%
CMO Management Fee Revenue		-	-	-	-	277,654.89
Factor Per Pupil - New York	13,500	13,500	13,500	13,500	13,500	13,500
Factor Per Pupil - New Jersey	16,500	16,500	16,500	16,500	16,500	16,500
Factor New Per Pupil - Federal Special Education	1,295	1,295	1,308	1,321	1,334	1,348
Input Federal Special Education Aid Unrestricted						
Factor New Per Pupil - New York Local Special Education Aid	10,390	10,390	10,494	10,599	10,705	10,812
Input Local Special Education Aid Unrestricted						
Factor New Per Pupil - Title 1 Funding	525	525	530	536	541	546
Input Title 1 Funding Unrestricted						
Grant Revenue - Government		-	-	-	-	-
Grant Revenue - Private		-	-	-	-	-
<b>Total DP Enterprise Revenue (excluding grants and fundraising)</b>		<b>33,274,679.94</b>	<b>47,073,870.12</b>	<b>61,662,591.28</b>	<b>74,737,152.29</b>	<b>91,990,874.63</b>
DP Schools Revenue - State, Federal, and Local Only		29,254,637.25	41,436,756.04	54,327,579.96	65,957,607.27	81,323,154.99
CMO Management Fee Revenue		4,020,043	5,637,114	7,335,011	8,779,545	10,667,720

Restricted Revenue Assumptions	Base	2013	2014	2015	2016	2017
Total Student Enrollment	-	1,839	2,565	3,345	4,077	4,997
Total Student enrollment % Increase	#DIV/0!		39%	30%	22%	23%
Input % annual increase of restricted per pupil revenue		0.0%	0.0%	3.0%	3.0%	3.0%
Input % annual increase of contributions		3.0%	3.0%	3.0%	3.0%	3.0%
<b>Grants</b>						
Grants In - State		-	-	-	-	-
Pctg Earned By CMO		0.0%	0.0%	0.0%	0.0%	0.0%
Kept by CMO		-	-	-	-	-
Grants Out - State		-	-	-	-	-
Grants In - Federal		\$1,698,232	\$2,414,728	\$1,794,888	\$1,542,947	\$1,658,662
Pctg Earned By CMO		0.0%	0.0%	0.0%	0.0%	0.0%
Kept by CMO		\$726,682.00	\$909,434.38	\$110,178.71	\$68,311.72	\$6,134.02
Grants Out - Federal		971,550	1,505,294	1,684,709	1,474,635	1,652,528
Grants In - Corporate		-	-	-	-	-
Pctg Earned By CMO		100.0%	100.0%	100.0%	100.0%	100.0%
Kept by CMO		-	-	-	-	-
Grants Out - Corporate		-	-	-	-	-
Grants In - Foundation		-	-	-	-	-
Pctg Earned By CMO		0.0%	0.0%	0.0%	0.0%	0.0%
Kept by CMO		-	-	-	-	-
Grants Out - Foundation		-	-	-	-	-
<b>Contributions</b>						
Contributions, In-kind (pro-bono legal)	100,000	110,000	110,000	113,300	116,699	120,200
Contributions - Individual	100,000	-	-	-	-	-
Pctg Kept By CMO		100.0%	100.0%	100.0%	100.0%	100.0%
Kept by CMO		-	-	-	-	-
Contributions Out		-	-	-	-	-
<b>Total Grants and Contributions Kept by CMO</b>		<b>726,682</b>	<b>909,434</b>	<b>110,179</b>	<b>68,312</b>	<b>6,134</b>
<b>Investment Income</b>						
Unrealized Gain/Loss on Investments	-	0.0%	0.0%	0.0%	0.0%	0.0%
Realized Gain/Loss on Investments	-	0.0%	0.0%	0.0%	0.0%	0.0%
Rental Income	-	0.0%	0.0%	0.0%	0.0%	0.0%
Miscellaneous Income	-	0.0%	0.0%	0.0%	0.0%	0.0%
Investment Interest from other accounts	-	0.0%	0.0%	0.0%	0.0%	0.0%
Investment - Chase 1587	33,000	33,990	35,010	36,060	37,142	38,256
Security Deposits and Principal in account	-	0.0%	0.0%	0.0%	0.0%	0.0%
<b>Total Investment Income</b>		<b>33,990</b>	<b>35,010</b>	<b>36,060</b>	<b>37,142</b>	<b>38,256</b>

Staffing Assumptions - DPPS	Base	2013	2014	2015	2016	2017
Input % annual wage increase		3.0%	3.0%	3.0%	3.0%	3.0%

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Input % annual Bonus %	9%	8.5%	8.5%	8.5%	8.5%	8.5%										
Input % annual Benefit %	24%	24%	24%	24%	24%	24%										
OFFICE OF THE SUPERINTENDENT	4.0	3.0%	477,700	6.0	3.0%	797,272	6.0	3.0%	821,190	6.0	3.0%	845,825	6.0	3.0%	871,200	6.0
FINANCE	5.0	3.0%	345,050	6.0	3.0%	419,056	6.0	3.0%	442,554	6.0	3.0%	478,341	8.0	3.0%	683,972	6.0
ACADEMICS	9.0	3.0%	710,700	9.0	3.0%	732,021	10.0	3.0%	825,009	12.0	3.0%	1,035,468	12.0	3.0%	1,072,329	10.0
OPERATIONS	5.0	3.0%	391,400	5.0	3.0%	419,056	6.0	3.0%	508,118	8.0	3.0%	664,050	8.0	3.0%	683,972	6.0
TALENT	6.0	3.0%	375,950	7.0	3.0%	472,101	8.0	3.0%	546,364	9.0	3.0%	647,168	10.0	3.0%	765,121	8.0
KNOWLEDGE	4.0	3.0%	272,950	6.0	3.0%	440,274	7.0	3.0%	524,509	10.0	3.0%	748,463	11.0	3.0%	852,066	7.0
EXTERNAL AFFAIRS	5.0	3.0%	324,450	7.0	3.0%	450,883	8.0	3.0%	551,827	9.0	3.0%	647,168	11.0	3.0%	840,474	8.0
Salary Total			2,898,200			3,730,660			4,219,571			5,066,483			5,769,133	
Merit Bonus			246,347			317,106			358,664			430,651			490,376	
Benefits			695,588			895,358			1,012,697			1,215,956			1,384,592	
<b>Total Salary and Benefits</b>	<b>38.0</b>		<b>3,840,115</b>	<b>46.0</b>		<b>4,943,125</b>	<b>51.0</b>		<b>5,590,931</b>	<b>60.0</b>		<b>6,713,090</b>	<b>66.0</b>		<b>7,644,101</b>	<b>51.0</b>
<b>Average Salary</b>			<b>76,268</b>			<b>81,101</b>			<b>82,737</b>			<b>84,441</b>			<b>87,411</b>	

DPPS Expense Assumptions	Base	2013	2014	2015	2016	2017			
<b>6100 GENERAL &amp; ADMINISTRATIVE</b>									
6106 Business Property Insurance	2,007	2,007	2,500	3%	2,575	3%	2,652	3%	2,732
6108 Directors and Officers Insurance	3,680	3,680	4,000	3%	4,120	3%	4,244	3%	4,371
6110 Commercial Umbrella Insurance	2,651	2,651	3,000	3%	3,090	3%	3,183	3%	3,278
6113 Bank Service Charges and Fees	300	300	300	3%	309	3%	318	3%	328
6114 Fees, Dues, Licences and Subscriptions	1,000	1,000	5,500	3%	5,665	3%	5,835	3%	6,010
6116 Office Supplies - Admin Use	4,000	4,000	6,500	3%	6,695	3%	6,896	3%	7,103
6120 Copy Supplies, Equipment and Printing	2,000	2,000	3,500	3%	3,605	3%	3,713	3%	3,825
6122 Postage and Shipping	5,000	5,000	6,000	3%	6,180	3%	6,365	3%	6,556
6123 Travel Expense	45,000	45,000	40,000	3%	41,200	3%	42,436	3%	43,709
6124 Automobile			6,000	3%	6,180	3%	6,365	3%	6,556
6125 Conferences and Conventions			2,500	3%	2,575	3%	2,652	3%	2,732
6126 Admin Consumables and Food (not travel food)	12,000	12,000	4,500	3%	4,635	3%	4,774	3%	4,917
6127 Meeting Expense	3,000	3,000	3,000	3%	3,090	3%	3,183	3%	3,278
<b>Total 6100 GENERAL &amp; ADMINISTRATIVE</b>	<b>80,638</b>	<b>80,638</b>	<b>87,300</b>		<b>89,919</b>		<b>92,617</b>		<b>95,395</b>
<b>6200 PROFESSIONAL SERVICES</b>									
6201 Finance Consultants and Services	15,000	15,000	30,000	3%	30,900	3%	31,827	3%	32,782
6202 Accounting and Audit Services	10,000	10,000	10,000	3%	10,300	3%	10,609	3%	10,927
Interns	700	700	36,000	3%	37,080	3%	38,192	3%	39,338
6203 Payroll and Accounting Software/Fees	700	700	1,800	3%	1,854	3%	1,910	3%	1,967
6204 Legal Services - Paid	15,000	15,000	5,000	3%	5,150	3%	5,305	3%	5,464
6205 Legal Services - Donated	110,000	110,000	110,000	3%	113,300	3%	116,699	3%	120,200
External Affairs Consulting			125,000	3%	128,750	3%	132,613	3%	136,591
Recruiting Consultants			40,000	3%	41,200	3%	42,436	3%	43,709
6206 Strategic Planning Consultants	49,000	49,000	50,000	3%	51,500	3%	53,045	3%	54,636
<b>Total 6200 PROFESSIONAL SERVICES</b>	<b>199,700</b>	<b>199,700</b>	<b>407,800</b>		<b>420,034</b>		<b>432,635</b>		<b>445,614</b>
<b>6300 PROFESSIONAL DEVELOPMENT</b>									
6301 Professional Development Consultants	89,000	89,000	65,000	3%	66,950	3%	68,959	3%	71,027
6302 Leader U Costs (BES)				3%	-	3%	-	3%	-
6303 Leader U Tuition Reimbursement				3%	-	3%	-	3%	-
6305 Tuition Reimbursement				3%	-	3%	-	3%	-
6310 Board Expenses			2,500	3%	2,575	3%	2,652	3%	2,732
<b>Total 6300 PROFESSIONAL DEVELOPMENT</b>	<b>89,000</b>	<b>89,000</b>	<b>67,500</b>		<b>69,525</b>		<b>71,611</b>		<b>73,759</b>
<b>7100 SCHOOL SUPPORT</b>									
7112 Textbooks and Curricular Materials				3%	-	3%	-	3%	-
7118 CLASSROOM SUPPLIES/FURNITURE				3%	-	3%	-	3%	-
<b>Total 7100 SCHOOL SUPPORT</b>	<b>-</b>	<b>-</b>	<b>-</b>		<b>-</b>		<b>-</b>		<b>-</b>
<b>CMO RENT / OCCUPANCY</b>									
DPPS Rent	36,500	19,000	28,500	3%	29,355	3%	30,236	3%	31,143
Other				3%	-	3%	-	3%	-
<b>Total CMO RENT / OCCUPANCY</b>	<b>36,500</b>	<b>19,000</b>	<b>28,500</b>		<b>29,355</b>		<b>30,236</b>		<b>31,143</b>
<b>7200 PROGRAM COSTS</b>									
7202 Staff/Student Initiatives	4,500	4,500	-	3%	-	3%	-	3%	-
7204 Fundraising Expenses	2,500	2,500	-	3%	-	3%	-	3%	-
7206 Website and Marketing Materials	25,000	25,000	45,000	3%	46,350	3%	47,741	3%	49,173
7208 Staff Recruiting	35,000	35,000	45,000	3%	46,350	3%	47,741	3%	49,173
7212 Special Events and Initiatives	3,500	3,500	16,500	3%	16,995	3%	17,505	3%	18,030
<b>Total 7200 PROGRAM COSTS</b>	<b>70,500</b>	<b>70,500</b>	<b>106,500</b>		<b>109,695</b>		<b>112,986</b>		<b>116,375</b>
<b>8200 Tech and Communication Expenses</b>									
8201 Telephone and Telecommunications	12,600	12,600	18,000	11%	19,957	18%	23,478	10%	25,826
8203 Computer and Tech Hardware (non-Capital)			3,000	11%	3,326	18%	3,913	10%	4,304
8204 Software License & Maintenance (non-Capital)	1,000	1,000	3,000	11%	3,326	18%	3,913	10%	4,304
<b>Total 8200 Tech and Communication Expenses</b>	<b>13,600</b>	<b>13,600</b>	<b>24,000</b>		<b>26,609</b>		<b>31,304</b>		<b>34,435</b>
<b>TOTAL DPPS EXPENSES</b>	<b>489,938</b>	<b>472,438</b>	<b>721,600</b>		<b>745,137</b>		<b>771,388</b>		<b>796,721</b>

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<b>DPPS OP EXPENSES</b>		4,312,553	5,664,725	6,336,068	7,484,479	8,440,822
<b>ENTERPRISE CONSOLIDATED TOTAL OP EXPENSES</b>		<b>\$8,625,106</b>	<b>\$11,329,449</b>	<b>\$12,672,136</b>	<b>\$14,968,957</b>	<b>\$16,881,645</b>
<b>Capital Assumptions</b>						
	Base	2013	2014	2015	2016	2017
Input % annual increase		5.0%	5.0%	5.0%	5.0%	5.0%
Input annual% of Gross Capital Assets		4.0%	4.0%	4.0%	4.0%	4.0%
Pctg Financed		0%	0%	0%	0%	0%
Number of Students		1839	2565	3345	4077	4997
Capital Expense Per Pupil	50	50	53	55	58	61
Annual Capital Expense		91,950	134,663	184,393	235,982	303,694
Depreciation Expense		3,678	9,065	16,440	25,879	38,027
Calculated Loan/Capital Lease CAPEX		-	-	-	-	-
<b>Debt Assumptions</b>						
	Base	Draw #1	Draw #2	Draw #3	Draw #4	Draw #5
Input Line of Credit						
Input Number of Years	1					
Input Annual Interest	7.0%					
Input Amount Used		15,000	5,000	7,000	1,000	2,000
Input Length of time in days		365	200	100	60	20
Calculated Interest Expense Per Draw		-	-	-	-	-
Calculated Annual Interest Expense		-	-	-	-	-
<b>Building Mortgage</b>						
		2013	2014	2015	2016	2017
Input Building Value	-					
Input Pct down payment (enter as decimal)	20%					
Amount Down Payment	-					
Calculated Mortgage Loan Amount	-					
Input Number of Years	30					
Input Annual Interest Rate	6.0%					
Interest only? (enter Yes for Yes, if no leave blank)						
Yearly Interest Expense		-	-	-	-	-
Yearly Principal Pmt		-	-	-	-	-
<b>Total Payment</b>		-	-	-	-	-
Balance Remaining		-	-	-	-	-
Yearly Depreciation Expense		-	-	-	-	-
<b>Loan/Capital Lease CAPEX TOTAL</b>						
		2013	2014	2015	2016	2017
Yearly Interest Expense		-	-	-	-	-
Yearly Principal Pmt		-	-	-	-	-
<b>Total Payment</b>		-	-	-	-	-
Balance Remaining		-	-	-	-	-
<b>Balance Sheet Assumptions - % of Total Category</b>						
		2013	2014	2015	2016	2017
Accounts Receivable	4%	194,269	266,262	302,340	358,582	431,762
Grants Receivable	10%	-	-	-	-	-
Contributions Receivable	4%	4,400	4,400	4,532	4,668	4,808
Input Due from related parties-Other	0%	-	-	-	-	-
Due from related parties-CMO	3%	120,601	169,113	220,050	263,386	320,032
Prepaid Expenses	4%	172,649	226,952	254,100	300,414	339,154
Accounts Payable	5%	23,622	36,080	37,257	38,569	39,836
Deferred Revenue	10%	485,672	665,655	755,849	896,456	1,079,405
Accrued Expenses/Payroll	4%	143,751	185,041	209,291	251,298	286,149
Due from Democracy Prep	4%	-	-	-	-	-

**Statement of Revenues, Expenses and Changes in Net Assets**  
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<b>DPPS Enterprise Revenues</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>
CMO Fees	4,020,043	5,637,114	7,335,011	8,779,545	10,667,720
Grants - State	-	-	-	-	-
Grants - Federal	726,682	909,434	110,179	68,312	6,134
Corporate Business Grant	-	-	-	-	-
Grants - Foundation	-	-	-	-	-
Contributions, in-kind	110,000	110,000	113,300	116,699	120,200
Contributions / Fundraising	-	-	-	-	-
<b>Total Operating Income</b>	<b>4,856,725</b>	<b>6,656,548</b>	<b>7,558,490</b>	<b>8,964,556</b>	<b>10,794,054</b>
Interest / Investment Income	-	-	-	-	-
Unrealized Gain/Loss on investment	-	-	-	-	-
<b>Total Investment income</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
Miscellaneous Income	-	-	-	-	-
Investment Interest from other accounts	-	-	-	-	-
Non-Operating Income	-	-	-	-	-
<b>Total Revenues</b>	<b>4,856,725</b>	<b>6,656,548</b>	<b>7,558,490</b>	<b>8,964,556</b>	<b>10,794,054</b>
<b>DPPS Expenses</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>
Salary Total	2,898,200	3,730,660	4,219,571	5,066,483	5,769,133
Merit Bonuses	246,347	317,106	358,664	430,651	490,376
Benefits Total	695,568	895,358	1,012,697	1,215,956	1,384,592
Total 6100 GENERAL & ADMINISTRATIVE	80,638	87,300	89,919	92,617	95,395
Total 6200 PROFESSIONAL SERVICES	199,700	407,800	420,034	432,635	445,614
Total 6300 PROFESSIONAL DEVELOPMENT	89,000	67,500	69,525	71,611	73,759
Total 7100 SCHOOL SUPPORT	-	-	-	-	-
Total CMO RENT / OCCUPANCY	19,000	28,500	29,355	30,236	31,143
Total 7200 PROGRAM COSTS	70,500	106,500	109,695	112,986	116,375
Total 8200 Tech and Communication Expenses	13,600	24,000	26,609	31,304	34,435
Depreciation Capital Equip	3,678	9,065	16,440	25,879	38,027
Depreciation Building	-	-	-	-	-
<b>Total Operating Expenses</b>	<b>4,316,231</b>	<b>5,673,789</b>	<b>6,352,508</b>	<b>7,510,358</b>	<b>8,478,850</b>
Mortgage Interest Expense	-	-	-	-	-
Capital Loan Lease/Interest Expense	-	-	-	-	-
Line of Credit Interest Expense	-	-	-	-	-
<b>Total Interest Expense</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total Expenses</b>	<b>4,316,231</b>	<b>5,673,789</b>	<b>6,352,508</b>	<b>7,510,358</b>	<b>8,478,850</b>
<b>Total Gain/Loss</b>	<b>540,494</b>	<b>982,759</b>	<b>1,205,982</b>	<b>1,454,198</b>	<b>2,315,204</b>
Gain/Loss on Sale of Asset or Lease Transaction	-	-	-	-	-
Other Gain/Loss	-	-	-	-	-
<b>Total Change in Net Assets:</b>	<b>540,494</b>	<b>982,759</b>	<b>1,205,982</b>	<b>1,454,198</b>	<b>2,315,204</b>
<b>Net Assets at the Beginning of the Year</b>	<b>2,807,290</b>	<b>3,347,784</b>	<b>4,330,543</b>	<b>5,536,525</b>	<b>6,990,723</b>
<b>Net Assets at the End of the Year</b>	<b>3,347,784</b>	<b>4,330,543</b>	<b>5,536,525</b>	<b>6,990,723</b>	<b>9,305,927</b>

Balance Sheet

	2012	2013	2014	2015	2016	2017
<b>Current Assets</b>						
1 Cash and Short-Term Investments	122,048	319,723	1,055,825	2,004,986	3,146,372	5,063,322
2 Accounts Receivable - % of Total Category	-	194,269	266,262	302,340	358,582	431,762
3 Grants Receivable - % of Total Category	-	-	-	-	-	-
4 Contributions Receivable - % of Total Category	-	4,400	4,400	4,532	4,668	4,808
5 Due from related parties-Other - % of Total Category	-	-	-	-	-	-
6 Due from related parties-CMO - % of Total Category	-	120,601	169,113	220,050	263,386	320,032
7 Due from Democracy Prep - % of Total Category	-	-	-	-	-	-
8 Prepaid Expenses - % of Total Category	-	172,649	226,952	254,100	300,414	339,154
9 Investment - Chase 1587	33,000	33,990	35,010	36,060	37,142	38,256
10 Security Deposits	300,000	-	-	-	-	-
11 Restricted Current Assets	-	-	-	-	-	-
12 <b>Total Current Assets</b>	<b>455,048</b>	<b>845,632</b>	<b>1,757,562</b>	<b>2,822,068</b>	<b>4,110,564</b>	<b>6,197,334</b>
<b>Gross Capital Assets</b>						
13 <b>Gross Capital Assets</b>	-	91,950	226,613	411,006	646,987	950,682
14 - Less Accumulated Depreciation	-	(3,678)	(12,743)	(29,183)	(55,062)	(93,089)
15 <b>Net Capital Assets</b>	-	88,272	213,870	381,823	591,925	857,592
16 Restricted Noncurrent Assets	-	-	-	-	-	-
17 Building Acquisition / Financing Costs / Deferred Exp	-	-	-	-	-	-
18 Accumulated Depreciation BLDG	-	-	-	-	-	-
19 Net BLDG	-	-	-	-	-	-
20 Long-Term Grants / Contributions Receivable	-	-	-	-	-	-
21 <b>Total Noncurrent Assets</b>	-	<b>88,272</b>	<b>213,870</b>	<b>381,823</b>	<b>591,925</b>	<b>857,592</b>
22 <b>Total Assets</b>	<b>455,048</b>	<b>933,904</b>	<b>1,971,432</b>	<b>3,203,891</b>	<b>4,702,490</b>	<b>7,054,926</b>
<b>Current Liabilities</b>						
23 <b>Current Liabilities</b>	-	23,622	36,080	37,257	38,569	39,836
24 Accounts Payable	-	23,622	36,080	37,257	38,569	39,836
25 Accrued Expenses/Payroll	-	143,751	185,041	209,291	251,298	286,149
26 Deferred Revenue	-	-	-	-	-	-
27 Due to related parties	230,000	-	-	-	-	-
28 Current Lease Obligations Payable	-	-	-	-	-	-
29 <b>Total Current Liabilities</b>	<b>230,000</b>	<b>167,373</b>	<b>221,121</b>	<b>246,548</b>	<b>289,867</b>	<b>325,985</b>
<b>Noncurrent Liabilities</b>						
30 <b>Noncurrent Liabilities</b>	-	-	-	-	-	-
31 Capital Lease or Borrowing Obligations	-	-	-	-	-	-
32 Line of Credit	-	-	-	-	-	-
33 Net Mortgage Balance	-	-	-	-	-	-
34 Deferred Revenue	-	-	-	-	-	-
35 <b>Total Noncurrent Liabilities</b>	-	-	-	-	-	-
36 <b>Total Liabilities</b>	<b>230,000</b>	<b>167,373</b>	<b>221,121</b>	<b>246,548</b>	<b>289,867</b>	<b>325,985</b>
<b>Net Assets</b>						
37 Temporarily Restricted	-	-	-	-	-	-
38 Permanently Restricted	-	-	-	-	-	-
39 Unrestricted (non-capital)	225,048	765,542	1,748,301	2,954,283	4,408,481	6,723,685
40 <b>Total Net Assets</b>	<b>225,048</b>	<b>765,542</b>	<b>1,748,301</b>	<b>2,954,283</b>	<b>4,408,481</b>	<b>6,723,685</b>
41 <b>Total Liabilities and Net Assets</b>	<b>455,048</b>	<b>932,914</b>	<b>1,969,422</b>	<b>3,200,831</b>	<b>4,698,348</b>	<b>7,049,670</b>
Balance	-	990	2,010	3,060	4,142	5,256

**Model Output Summary**  
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	2013	2014	2015	2016	2017
1 DPPS Enrollment	1,839	2,565	3,345	4,077	4,997
2 % Chg Year-to-Year	100.0%	28.3%	23.3%	18.0%	18.4%
3 DPPS CMO Management Fee	4,020,043	5,637,114	7,335,011	8,779,545	10,667,720
4 % Chg Year-to-Year	100.0%	28.7%	23.1%	16.5%	17.7%
5 DPPS In Kind Contribution	836,682	1,019,434	223,479	185,011	126,334
6 Contributions Growth		17.9%	-356.2%	-20.8%	-46.4%
7 Total DPPS CMO Expenses	4,312,553	5,664,725	6,336,068	7,484,479	8,440,822
8 % Chg Year-to-Year		23.9%	10.6%	15.3%	11.3%
9 DPPS Net Revenue	<u>544,172</u>	<u>991,824</u>	<u>1,222,422</u>	<u>1,480,077</u>	<u>2,353,231</u>
10 % Chg Year-to-Year	100.0%	45.1%	18.9%	17.4%	37.1%
11 Change in Net Assets	<u>540,494</u>	<u>982,759</u>	<u>1,205,982</u>	<u>1,454,198</u>	<u>2,315,204</u>
12 % Chg Year-to-Year	100.0%	45.0%	18.5%	17.1%	37.2%
13 Current Ratio	5.1	7.9	11.4	14.2	19.0
14 Financial Leverage	4.1	1.1	1.1	1.1	1.0
15 Defensive Interval (DI):	1.8	3.2	4.8	6.0	8.2

**Statement of Cash Flows**  
(\$)

	2013	2014	2015	2016	2017	Total
<b>Operating activities</b>						
1 Total Change in Net Assets:	540,494	982,759	1,205,982	1,454,198	2,315,204	6,498,637
2 Depreciation Capital Equip	3,678	9,065	16,440	25,879	38,027	93,089
3 Depreciation Building	-	-	-	-	-	-
4 Accounts Receivable - % of Total Category	(194,269)	(71,993)	(36,078)	(56,243)	(73,180)	(431,762)
5 Grants Receivable - % of Total Category	-	-	-	-	-	-
6 Contributions Receivable - % of Total	(4,400)	-	(132)	(136)	(140)	(4,808)
7 Due from related parties-Other - % of Total	-	-	-	-	-	-
8 Due from related parties-CMO - % of Total	(120,601)	(48,512)	(50,937)	(43,336)	(56,645)	(320,032)
9 Prepaid Expenses - % of Total Category	(172,649)	(54,302)	(27,149)	(46,314)	(38,740)	(339,154)
10 Restricted Current Assets	-	-	-	-	-	-
11 Accounts Payable	23,622	12,458	1,177	1,313	1,267	39,836
12 Accrued Expenses/Payroll	143,751	41,290	24,250	42,007	34,851	286,149
13 Deferred Revenue	-	-	-	-	-	-
14 Due to related parties	(230,000)	-	-	-	-	(230,000)
15 Other liabilities	-	-	-	-	-	-
16 Other operating cash flow items	-	-	-	-	-	-
17 <b>Total operating activities</b>	<b>(10,375)</b>	<b>870,765</b>	<b>1,133,554</b>	<b>1,377,368</b>	<b>2,220,644</b>	<b>5,591,956</b>
<b>Investing activities</b>						
19 Building	-	-	-	-	-	-
20 Annual Capital Expense	(91,950)	(134,663)	(184,393)	(235,982)	(303,694)	(950,682)
21 Sale of fixed assets	-	-	-	-	-	-
22 Other investing cash flow items	-	-	-	-	-	-
23 <b>Total investing activities</b>	<b>(91,950)</b>	<b>(134,663)</b>	<b>(184,393)</b>	<b>(235,982)</b>	<b>(303,694)</b>	<b>(950,682)</b>
<b>Financing activities</b>						
25 Long-term debt/financing	-	-	-	-	-	-
26 Other Debt (capital expenses)	-	-	-	-	-	-
27 Other financing cash flow items	-	-	-	-	-	-
28 <b>Total financing activities</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
29 <b>Net increase in cash and cash equivalents</b>	<b>(102,325)</b>	<b>736,102</b>	<b>949,161</b>	<b>1,141,386</b>	<b>1,916,950</b>	<b>4,641,274</b>
30 <b>Beginning cash balance</b>	<b>122,048</b>	<b>19,723</b>	<b>755,825</b>	<b>1,704,986</b>	<b>2,846,372</b>	<b>5,448,953</b>
31 <b>Ending cash balance</b>	<b>19,723</b>	<b>755,825</b>	<b>1,704,986</b>	<b>2,846,372</b>	<b>4,763,322</b>	<b>10,090,227</b>

School Staff Growth

DPPS	Grades Served	Cohorts	Total Students			Total Instructional	Total Non-Instructional	School Leader	Deputy Leaders	ACT Coordinator	Office Manager / School Support	Social Work / Behavioral Specialist	Registrar	Tech. Team	Nurse	TOTAL STAFF	Staff: Student Ratio	Avg. Expense/Revenue Ratio
			Enrolled	Teachers	ACT Team													
ES	K	3	75	6	1	7	4.5	1	0	0.25	1	1	0.5	0.5	0.25	11.5	6.52	0.92
	K-1	6	150	12	2	14	5.5	1	0	0.5	1	1	0.5	1	0.5	19.5	7.69	0.92
	K-2	9	225	18	3	21	7.5	1	1	0.5	1	1	1	1	1	28.5	7.89	0.83
	K-3	12	300	24	4	28	8	1	1	0.5	1.5	1	1	1	1	36	8.33	0.81
	K-4	15	375	30	5	35	10	1	1	1	2	2	1	1	1	45	8.33	0.77
	K-5	18	450	36	6	42	10	1	1	1	2	2	1	1	1	52	8.65	0.77
MS	6	4	100	8	1	9	4.25	1	0	0	1	1	0.5	0.5	0.25	13.25	7.55	0.84
	6-7	8	200	16	2	18	12	1	1	0.5	1.5	1	1	1	5	30	6.67	0.78
	6-8	12	300	24	3	27	10	1	1	1	2	2	1	1	1	37	8.11	0.77
HS	9	4	100	8	1	9	4.25	1	0	0	1	1	0.5	0.5	0.25	13.25	7.55	0.88
	9-10	8	200	16	2	18	11	1	0	0.5	1.5	1	1	1	5	29	6.90	0.84
	9-11	12	300	24	3	27	9.5	1	1	1	1.5	2	1	1	1	36.5	8.22	0.80
	9-12	16	400	32	4	36	10	1	1	1	2	2	1	1	1	46	8.70	0.77

**2. Fiscal Policies and Procedures**

# **DEMOCRACY PREP PUBLIC SCHOOLS**

## **Fiscal Policies and Procedures**



**207 West 133<sup>rd</sup>  
Street  
New York, NY  
10030**

May 2011 Revision v2

## OVERVIEW OF FISCAL CONTROL STRUCTURE

Democracy Prep Public Schools are committed to developing and maintaining fiscal policies and procedures that ensure sound internal controls and accountability in accordance with Generally Accepted Accounting Principles (GAAP) and Financial Accounting Standards Board (FASB) rules and regulations.

As nonprofit organizations, all Democracy Prep Public Schools and related entities are entrusted with funds granted by government agencies, private foundations, and individual contributors, by which the integrity of the financial data/records and a strict adherence to the highest standards of accounting are imperative.

The “Fiscal Control Structure” is defined by the fiscal policies adopted at the Board level that are then implemented through an explicit set of procedures or practices. This combination of policies and procedures ensures efficient use of resources and helps to safeguard each entity’s assets by reducing the potential unauthorized use of assets or misstatement of account balances. On a day-to-day basis the control structure serves to facilitate each Democracy Prep school’s ability to process, record, summarize, and report financial information, as per the requirements of internal and external monitors.

The fiscal management of each Democracy Prep Public school involves the following individuals:

- School Board of Trustees (esp. Board Treasurer and Finance Committee)
- DPPS Superintendent
- DPPS Chief of Staff
- DPPS Senior Director of Finance
- DPPS Senior Director of Human Resources
- DPPS Finance & Operations Manager
- Democracy Prep/Harlem Prep School Principal/Campus Director/Academy Director
- Democracy Prep/Harlem Prep School Office Manager
- Democracy Prep/Harlem Prep School Registrar
- Democracy Prep/Harlem Prep Operations Manager

The role of each individual will be detailed in the sections that follow.

### Account Opening

The Board of Trustees, upon the School’s inception, will via resolution authorize the opening of bank accounts as required.

### Authorized Signatures

The School’s Board officers approve the authorized signers for the checking and business investment accounts. These signers may include the following individuals:

DPPS Superintendent  
DPPS Chief of Staff  
DPPS Senior Director of Finance  
DPPS Senior Director of Human Resources  
Democracy Prep Principals/Campus Directors

Checks and wire transfers require two signatures. Amounts exceeding \$10,000 require at least one of the signatures to be that of the DPPS Superintendent.

## **BUDGET PLANNING & CASH MANAGEMENT**

### **Annual Budgeting**

In early February, five months prior to the new fiscal year (which begins on July 1), the DPPS Senior Director of Finance (DOF) will initiate the annual budgeting process for the School. The process will begin with an analysis of the School's financial reports to date and an evaluation of the accuracy of the critical cost assumptions and drivers.

The DOF will then meet with key School staff members, including the Principal/Campus Director(s) and Democracy Prep personnel including the DPPS Superintendent and Chief of Staff to discuss any proposed modifications to the assumptions/drivers and to clarify the programmatic objectives and plans for the following school year.

By approximately March 15, the DOF will circulate a budget draft and schedule budget meetings with the School and Democracy Prep staff. Any additional modifications and adjustments will be made by April 1, at which time the DOF will present the budget to the Board Finance Committee. The Finance Committee will review and offer comments and request additional modifications.

A final budget will be presented at the next meeting of the School's Board of Trustees during the month of April and approved in time for the start of the new fiscal year on July 1<sup>st</sup>.

### **Cash Flow Management**

On annual basis, as part of the budget process, the DPPS Senior Director of Finance and Finance & Operations Manager prepare an annual cash flow worksheet where the expenditures and revenues for the School are plotted on a monthly basis, flowing into an eighteen-month model, as needed. Once the expenditures are plotted on the timeline, in conjunction with the DPPS Senior Director of Finance and Superintendent, the projected revenue flows are also plotted on a timeline. The cash flow model indicates, at an early point, the months during which a DPPS School may face difficult cash flow issues.

On a monthly basis, the Senior Director of Finance updates the cash flow model, integrating new data drawn from the accounting system. In the event of a critical situation, the Senior Director of Finance will contact the Board Treasurer so that appropriate actions may be taken.

On behalf of the School, the DPPS Senior Director of Finance and Finance & Operations Manager, in conjunction with the Board Treasurer as necessary, will address difficult cash flow issues and will contact banking institutions, vendors and current funders, as necessary.

### **Debt Assumption**

All major debt, such as lines of credit from banks and financial institutions, and major loans must be approved by the Board of Trustees, and the authorization must be documented in the minutes of the meeting the Board, as well as a Board resolution to be presented to the third party with whom the debt is being established. A copy of the resolution approving the issuance of the debt is maintained with the executed copy of the debt agreement. A record is maintained of the assets collateralizing the debt, if any. This does not include vendor accounts.

## **ACCOUNTING ACTIVITIES AND THE SEGREGATION OF DUTIES**

The five major and recurring areas of financial management or accounting activity at the Democracy Prep Public Schools are:

- Cash Receipts & Revenues
- Purchases & Cash Disbursements
- Payroll
- Investments
- Fixed Assets

Each of these is defined by a set of duties/tasks that are segregated across key individuals to maximize efficiency while minimizing the possibility of fraud or error. Under no circumstances should all tasks of a given accounting activity be completed by a single individual.

## **Cash Receipts & Revenues**

The Cash Receipts & Revenues Cycle consists of the following steps:

1. Receive
2. Process and Record
3. Deposit

### Receive

With the exception of mail addressed to the Principal or mail marked CONFIDENTIAL, the School Office Manager receives the mail and is responsible for sorting the mail. Mail is sorted by addressee. All donations are delivered to the External Affairs Manager. Bills and payments are delivered to DOF.

### Process and Record

A written daily check log (indicating source, amount, date received) of the checks received by mail is maintained by the External Affairs Manager. Along with actual checks, supporting documentation, and copies of checks are promptly delivered to the DOF for deposit. Upon receipt of the check, DOF restrictively endorses it, using a stamp that indicates “For Deposit Only” and the School’s name and bank account number.

A second copy of checks, along with supporting documentation, are kept with the External Affairs Manager to enter all donations into Raiser’s Edge for recording of the donation and track the spending of each donation and reports to the donor.

### Cash Received Via Special Events/Activities

Democracy Prep Public Schools, the network and the individual schools will inevitably hold a variety of special events during the course of the school year that may involve the receipt of cash and checks. Examples of such events or activities are Book Fair Sales, Class Pictures, Theater Performances, and Field Trips. When such events occur, teachers, members of the Financial Team and other staff may be responsible for collection of cash and checks related to these types of activities.

Each person responsible for collecting cash and checks (the “collector”), receives the cash and checks from the “student/contributor” and must ALWAYS provide a receipt to the person presenting the cash or check. The receipts are multi-copy and pre-numbered. The collector then places the cash and checks in a Special Event Collection Envelope, along with a copy of the receipt, and records the sale or contribution on the form printed on the front of the Special Event Collection Envelope. At the close of the collector’s shift or at the end of the event, he/she counts the cash and checks, notes the cash totals on the front of the envelope, signs and seals the envelope and delivers it to the DPPS Senior Director of Finance, who will then verify the cash and check amounts, segregate cash and checks, restrictively endorse the checks, and prepare a deposit ticket, supported by the envelope

documentation. If cash or checks cannot be deposited immediately, they are stored (along with the supporting documentation) in the School's safe or secured/locking drawer.

If cash or checks are lost due to the gross negligence (failure to adhere to procedure) of a collector or staff member, the individual responsible may be held liable for the value of the lost cash and any expense related to the cancellation of the lost checks.

#### Deposit

Based on the daily check log, the DPPS Senior Director of Finance prepares the deposit ticket, check receipt form (listing the appropriate revenue account number based on funding restrictions) and, along with the check & cash and other supporting documentation, will make the deposit at the bank within twenty-four hours of receipt.

The DPPS Senior Director of Finance receives a validated bank deposit summary slip (either from the banker teller or ATM) that is then delivered to the Finance & Operations Manager to process and record in the financial management system (where the revenues are assigned to the appropriate accounts) and a deposit summary is printed. The summary is compared against the deposit slip for verification. A "deposit batch" is then assembled consisting of (from bottom to top): any supporting documentation (corresponding cash receipts logs), copies of the checks, completed check receipt form, the deposit summary from the financial management system, the carbon copy of the deposit ticket, and bank deposit summary receipt.

The "deposit batch" is then filed in the cash receipt file/binder. These are transferred to storage after the annual audit is completed.

#### Wire/Electronic Fund Transfers

Direct deposits made into the School's account (such as the per pupil operating revenues, or other electronic payments) should be handled in the same fashion as a deposit to the bank, using either the payment voucher or a record printed from online as the basis for the deposit batch. Obviously, there will be no deposit slip attached, however, a deposit summary from the accounting system should be printed and filed in the Cash Receipts file/binder along with the voucher.

#### Acknowledgement of Charitable Contributions

As per IRS regulations, for charitable contributions greater than \$250, the appropriate entity will issue an acknowledgement of receipt of the contribution to the donor; additionally, the entity will issue an acknowledgement of receipt of any contribution regardless of amount to the donor. The acknowledgement should include:

- The amount of cash and a description of any other property contributed;
- A statement about whether any goods or services in return for the contribution were provided; and,
- A description and an estimated value of what was provided in return for the contribution.

These rules do not apply on a cumulative basis. That is, if one contributor makes separate donations, each of which is less than \$250 but which, in aggregate, total more than \$250, the school is not required to send an acknowledgement.

#### Quid Pro Quo Contributions

Some contributions are considered quid pro quo contributions since the donor receives something in return. All quid pro quo contributions greater than \$75 must be accompanied by a memo which includes both the payment for the items received and an overall estimate of the fair market value of the goods or services received by the donor in return for the contribution. The donor will receive a charitable contribution deduction for the amount in excess of the fair market value of the goods or services received. This disclosure should explain that the amount of the deductible contribution for federal income tax purposes is the excess of the amount of money and/or property contributed over the value of the goods or services provided by the charity. The disclosure will be made in a manner that is reasonably likely to be noticed by the donor. This is a good faith estimate (see IRS definitions).

## **Purchases & Cash Disbursements**

### Procurement

All purchases except professional services, utilities, equipment, or property rentals and other recurring expenditures should be obtained via a purchase order request, which is described below. Professional services are monitored via contract management procedures, not the generation of a purchase order.

The procurement selection process will take into account quality, service, and pricing. Senior staff members, such as the Superintendent, Principal/Campus Director, DPPS Chief of Staff, Senior Director of Finance, and Senior Director of Human Resources must approve all purchases.

### Tax exemption

As a nonprofit corporation, the School is recognized as a tax-exempt organization under the Federal, New York state and local laws. As such, the school is exempt from sales taxes on goods purchased for its own internal use and services. To take advantage of this exemption, the Finance & Operations Manager should ensure that each vendor has a copy of the School's tax-exempt certification and does not charge sales tax. Tax exemption does not apply to hotel expenses, airfare or communication-related taxes such as those on telephones.

### Bids Required for Furnishings, Equipment, and Technology Items

Either written or oral bids will be obtained for the procurement of furnishings, equipment and supplies having a cost of greater than \$10,000. The assigned staff member who requests the supply or equipment will secure oral bids and will document via an internal memorandum listing vendor, date, cost and any other relevant facts. Printed advertisements of available products are acceptable evidence of bid price. Whenever the vendor selected is other than the lowest bidder, the bid document should be annotated (an initialized, hand-written note is fine) to indicate the reasons for the selection. It is important that the bid documentation be attached to the purchase order at the time it is submitted to the authorized signer for approval.

### Purchase Authorization

A Check Request Form and/or a Purchase Request Form should be completed for all purchases and should be approved by the School Principal/Campus Directors (or other authorized signer) and Senior Director of Finance. A Purchase Order envisions placing an order with the specific Democracy Prep entity promising to pay. A Check Request envisions our paying for services or materials in advance. In either case, the process is the same.

A purchase request is to be prepared for all purchases. All purchase requests are to be initiated by the individual requesting the purchase, and should be approved by a supervisor such as the School Principal/Campus Director before submitting to DPPS Senior Director of Finance for final approval.

As part of the approval process, the School Principal/Campus Director or DPPS Senior Director of Finance must consult the budget to make sure that funds are available in the appropriate category to support the purchase or commitment. All purchase requests should be given to the Finance & Operations Manager following approval for implementation.

Following the first, large start-up order, office and teaching supplies will be purchased monthly in batch orders. Under the supervision of the School Principal/Campus Directors or Operations Manager, the Office Manager is responsible for regularly checking the inventory of common/general office and teaching supplies and creating purchase requests on a monthly basis to keep regular school supplies in stock.

Teachers may occasionally place requests for special/additional office and teaching supplies by completing a Purchase Request Form, noting the quantity and types of supplies to be ordered, the date of request, and his/her name. As with a standard purchase request, the Purchase Request Form should be approved by the Principal (or authorized signer).

Purchase requests for school maintenance supplies are prepared by the custodian or maintenance team, who makes a copy for his/her records, and gives the purchase request to the DPPS Senior Director of HR for approval. The Senior Director of HR forwards the approved purchase requests for maintenance supplies to the DOF for final approval, which is then delivered to the Finance & Operations Manager for processing.

Purchase requests for supplies related to Family Leadership Council (FLC) activities are prepared by the FLC representative and forwarded to the Campus Director for approval. The School's Campus Director (approval limit \$1,000 for family functions) either approves the request or, if above his/her approval limit, receives approval from the DOF and forwards the Purchase Request to the Finance & Operations Manager for processing. If the lowest bid is not accepted, a rationale for choice of vendor should be included.

#### Purchase Orders

Once the purchase order has been approved, the Finance & Operations Manager places the order with the appropriate vendor by faxing, mailing or e-mailing the purchase order. He/she retains a copy of the purchase order attached to the purchase request (if applicable) in the "Open Purchase Order" file as supporting documentation for the payment voucher.

On a monthly basis, the Finance & Operations Manager will conduct a review of the open purchase order file for any commitments that have not been fully matched with packing slips or equivalent records of goods or services received.

#### Check Requests

The staff person requesting a check submits a check request to his/her supervisor or the School Principal/Campus Director for approval. The Check Request will include an itemization of the inventory to be purchased and, if necessary, bids for the items (the same procedure as for a purchase order). The check request must include an invoice/quote from the vendor from which the items are to be purchased. Once approved by the School Campus Director/Principal or DOF, the Finance & Operations Manager will process the check request.

#### Receipts of Goods and Merchandise

The receipt of goods by mail, shipment, or other carrier is signed for and received by the School Office Manager. Upon receiving a delivery, the Office Manager, who is independent of both the ordering and

payment process, (1) verifies that each item on the packing slip has been received, (2) compares the goods received against the open purchase order, and (3) date stamps the packing slips(s) and any attendant invoices. The packing slip(s) and invoices are immediately delivered to the Finance Team.

If an order is only partially completed, the School Office Manager will return the still open purchase order to the "Open Purchase Order" file and await additional deliveries.

As soon as a purchase order is complete/has been fulfilled, the School Office Manager forwards the remaining packing slip(s) and invoices to the Finance & Operations Manager.

The received goods will be promptly distributed to the intended recipients or stored.

#### Processing Accounts Payable

The Office Manager, who is responsible for receiving the School's mail and shipments, will stamp all incoming invoices with a "Received Date" and will promptly deliver all invoices (and any remittance envelopes) to the School Director of Operations for processing.

The Finance & Operations Manager is responsible for entering the invoice into the accounting system, assigning the expense to the appropriate expense category and matching it against items on the open purchase order. The invoice is then filed in the School's Accounts Payable folder. The Finance & Operations Manager is responsible for investigating and resolving any outstanding back order issues.

All invoices should be assigned credit terms of 30 days, unless other arrangements are made in advance.

On a monthly basis, the Finance & Operations Manager runs an Aged Payables Report and forwards a copy to the Senior Director of Finance for review and selection of items to be paid. This report is accompanied with an indication of the available cash balance as of that time, taking into consideration other cash requirements for the two week period immediately following.

Blank check stock is stored in the School safe or locked cabinet. Unopened boxes of checks remain sealed and are also stored in the school safe.

Laser checks are placed in the printer, and the system automatically prints the information on the pre-printed, pre-numbered checks. Upon completion of the check printing process, the physical checks are reviewed for proper printing and confirmation of check numbers against the check register. The check is then submitted to the authorized check signers.

When presented to the authorized signers for signature, the Finance and Operations Manager will make sure to have the check attached to the payment batch, consisting of any bid documentation, the purchase order, the corresponding packing slips and the invoice. One of the two check stubs will be attached to the batch and the complete batch will be filed in the appropriate cash disbursement binder.

As an alternative to mailing physical checks, the Finance and Operations Manager may request to have an online/electronic bill payment system pay vendors by submitting an Automatic Clearing House (ACH) form. Any online transaction is documented by an approved ACH form, a printout of the confirmation page and the invoice. Copies of online/electronic transactions confirmation pages are reconciled with the check register and filed.

In no event should payment be processed without an official vendor invoice. Payments will NOT be made "against statement" but are only made against an actual invoice which details the services/items furnished.

### School Meal Program

The Meal Program at Democracy Prep Public Schools is provided for its students in accordance with the City of New York Department of Education's Free and Reduced Meal Program. Under this program, students are eligible for free or reduced breakfasts and lunches. The process for the meal program includes three parts:

1. Determination of eligibility for free or reduced lunches;
2. Daily count of students receiving breakfasts and lunches at DPPS schools; and
3. Submitting payment to DOE Food program for reduced or full-priced meals.

### Determination of eligibility for free or reduced lunches

The School Registrar annually distributes Meal Eligibility Forms to parents at the beginning of the fall school term. Parents complete and return the forms to the School Registrar who determines the eligibility of students and families for free, reduced or full priced lunches. The Operations Manager and Office Manager are responsible for sending determination letters to parents notifying them of their status. The Finance and Operations Manager designates a staff person who is responsible for input of lunch codes in the ATS system which will be sent to the NYC Department of Education, which certifies eligibility. A backup copy of what is entered in to the ATS system is maintained and signed off by the Finance and Operations Manager. The Finance and Operations Manager also certifies the determination of eligibility by his/her signature.

### Daily count of students receiving breakfasts and lunches

The Office Manager or Receptionist receives the meal counts from the teaching staff responsible for recording meals served and records the names and number of students receiving breakfast/lunch daily. Attendance for meal service is taken at the point when the student receives the meal.

The Teachers take daily attendance of their students. Included in the daily attendance is the student's declaration of whether they have brought their "own lunch" or intend to eat the "school lunch." Teachers send their classroom count of "Own lunch/School Lunch" totals directly to the Office Manager or Receptionist following each morning's attendance. The School Registrar totals the information from all classes and fills out an MIE II form to be turned in to the Department of Education on Tuesday of the following week.

### Payment to NYC DOE School Foods

The School Registrar keeps daily records on each student and reports the totals on the required MIE1 form (Report of Meals Served) on a weekly basis to the DOE, and on a monthly basis to the Finance and Operations Manager. The Finance and Operations Manager receives the MIE1 Forms and prepares and submits monthly MIE 2 Forms (Cash Receipt Worksheet), along with payment, to NYC DOE Schools Foods.

### Use of School Credit Cards

School credit cards will be issued to select staff members, as per the approval of the Board Finance Committee. The Finance Committee will also establish the transaction limits.

Credit cards will only be used for business purposes and be limited to circumstances in which a purchase order is not an option. Personal purchases of any type are not allowed. Cash advances are also prohibited.

Each cardholder will be required to sign an agreement indicating that he/she understands and accepts the terms of use. Individuals who do not adhere to the policies and procedures surrounding credit card usage may have their credit card privileges revoked. Any cardholder who uses a School-issued credit card improperly will be held liable for any and all unapproved/unallowable purchases. Fraudulent use of a School-issued credit card may result in disciplinary action.

The Senior Director of Finance will solicit credit card usage reports on a monthly basis from cardholders. The Senior Director of Finance will use online access to each cardholder's account to monitor usage and to access a report of charges made to date. Cardholders will provide detailed receipts attached to the corresponding credit card report. For meals and entertainment, each transaction detail should include the names of all persons involved in the purchase, and a brief description of the business purpose. The cardholder may be held personally liable for any expense for which he/she is unable to furnish a detailed receipt or support documentation.

The Senior Director of Finance will be responsible for opening the School's monthly credit card statements and for reconciling the cardholder reports and attendant receipts to each statement. Once the statement has been reconciled, the Senior Director of Finance will initial and return it to the Finance and Operations Manager for processing and payment. The Finance and Operations Manager will use the usage reports/receipt details to ensure that each allowable expense is assigned to the proper expense category in the accounting system.

Cardholders should make every effort to ensure that purchases do not include sales tax. New York State Tax Exemption letters are available from the DPPS Finance and Operations office.

#### Travel and Employee Business Expense

Reasonable travel and business expenses incurred by employees deemed necessary to Democracy Prep's operations will be reimbursed upon submission of an Employee Expense Reimbursement. Requests must have appropriate supporting documentation (all original receipts) that satisfies NYC regulations. The School is exempt from state and federal taxes, and therefore does not reimburse employees for taxes.

A request for authorization of travel (or equivalent memo of understanding) requiring an overnight stay must be submitted two weeks before the travel date in order to allow appropriate time for review and authorization by the Campus Director/Principal (or authorized signer). Similarly, prior written authorization should be secured if a seminar or meeting requires a registration fee, even if the seminar is being held locally. The request for authorization of travel must be approved by the Campus Director and Senior Director of Finance with budgetary authorization prior to committing to travel arrangements.

Employee Expense Reimbursement requests, including those pertaining to travel expenses, should be completed and submitted once a month *no later than ten days after the close of the month during which the expense activity has occurred*. All expense reimbursement requests submitted by the Campus Director/Director should be approved by the DPPS Superintendent (or authorized signer).

Democracy Prep Public Schools will reimburse employees for out-of-town travel following the NYC mandated per diem rates for lodging, meals and incidentals<sup>1</sup>. These rates are specific to the city of destination.

Generally, employee expense reimbursements are processed within three to seven days of receipt by the Finance and Operations Manager.

### Receipts

Original receipts evidencing expenses will be obtained whenever practical, but are required for all amounts to be reimbursed.

Documentation of expenses incurred should comply with NYC requirements and clearly show the following:

- Date;
- Names of those attending business meeting;
- Meeting location;
- Subject discussed;
- Amount.

## **Payroll**

### Establishing a Personnel File for Each Employee

The DPPS Senior Director of HR (in conjunction with the Operations Manager at a remote campus) is responsible for establishing a complete personnel file for each School employee. Each personnel file, which contains the personal information and performance outcomes of an employee throughout his/her tenure with the School, is kept both secure and confidential.

Each file will contain:

- Employee Resume;
- Signed Offer Letter/Employment Agreement (and authorized documentation relating to any job and/or compensation adjustments);
- Wage Rate – DPPS personnel records reflect two components of an employee's wage rate:
  - Wage base – how the employee is paid (for example, by the hours, semi-monthly salary);
  - Wage amount – amount paid for each hours, day, week, or month worked.
- Employment Eligibility Form I-9 (with supporting documentation);
- Federal Withholding Form W-4;
- State/City Withholding Form;
- Direct Deposit Authorization Form;
- Copies of Benefits Enrollment/Waiver Form & Related Deduction Instructions;
- Fingerprint Report;
- Credit Card Usage Agreement (if applicable);
- Cell Phone/Laptop Usage Agreement (if applicable);
- Performance Evaluations;
- Certification documentation.

### Preparing for Payroll

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<sup>1</sup> Per diem rates are provided by the US Federal Register, which is published daily. The document can be retrieved via the World Wide Web (<http://www.access.gpo.gov/nara>)

The following data is required to establish the employee's profile in the payroll system:

- Name and Address (W-4);
- Social Security Number (W-4);
- Job Title (Offer Letter);
- Wage Rate (Offer Letter);
- Withholding Status (W-4);
- Other Deductions (i.e. contributions to the retirement plan, etc.);
- Direct Deposit Information.

#### New York City Reporting for New Hires

DPPS fulfills the New York City requirements for charter schools by reporting new hire teachers to the New York City Office of New Schools who, in turn, reports new hires to the State of New York. The DPPS Senior Director of Finance is responsible for filling this requirement. All staff members must also be fingerprinted.

#### Work Authorization Status

In accordance with the Immigration Reform and Control Act (IRCA), between the time DPPS offers employment and the third day after a new employee starts employment, DPPS is required to inspect certain documents (chosen by the employee) proving the employee's identity and authorization to work in the United States and complete INS Form I-9. Failure to properly complete and maintain INS Forms I-9 carries a penalty of \$100 to \$1,000 per employee.

See Forms section Form I-9, with instructions highlighting the documents that are acceptable in fulfilling the evidence requirements of Form I-9.

All Forms I-9 will be retained for the longer of three years or one year after employment termination. Form I-9 is filed as follows by the DPPS Senior Director of Human Resources:

- Alphabetically, in one file, all Forms I-9 of current employees except those whose documents are subject to expirations (such as work visas);
- Separately, all Forms I-9 subject to expiration, in expiration date order;
- Separately, all Forms I-9 of terminated employees, by termination date;
- The top of the form is marked with the termination date for easy reference and filing.

#### Changes to Employee's Payroll Information

Changes to an employee's payroll information are made only upon written confirmation by an authorized individual. After entering the changed information into the payroll system, the Senior Director of Finance verifies that the change was entered and posted correctly. The written notice of change is then filed in the employee's personnel file.

An employee may amend his/her withholding allowances as needed. Employees are required to file an amended W-4 form within 10 days of an event that decreases the number of withholding allowances. When a W-4 form is received, the Senior Director of Finance must comply with the withholding instructions within 30 days.

Although not obligated to evaluate an employee's number of exemptions, the School will:

- Report excessive allowances by sending copies of all W-4 forms claiming more than 10 withholding allowances along with the School's Form 941 to the IRS;
- Report full exemptions to the IRS all claims for full exemptions from withholding by employees with normal weekly wages of more than \$200;
- Because of their importance to both the IRS and to employees, the School retains signed, original W-4 forms (no copies) for four years after the annual employment tax returns are filed.

### Time Sheets

Certain employees, because of the nature of work they do, will be required to keep time sheets. Time sheets will be available from the Senior Director of Human Resources. It is the responsibility of these certain employees to record time worked during the work week on his/her time sheet. Time sheets must be completed in ink and corrections must be initialed. Time sheets must be submitted to the employee's direct supervisor bi-weekly for signature/approval before it is submitted to the Senior Director for Human Resources for processing.

### Calculating Gross Pay

The gross pay of exempt employees is calculated by dividing the annual salary by the number of pay periods during the year. The School has twenty-four pay periods in one year. Exempt employees receive the same gross pay each pay period regardless of the number of hours worked.

Under FLSA guidelines, the School must pay overtime to workers in non-exempt positions who work more than forty hours during the workweek. No overtime pay is required for employees in exempt positions regardless of the hours worked. Overtime pay represents one and one-half times the amount of regular hourly wages paid, applied to the number workweek hours in excess of forty.

### Entering Time Data

Payroll is processed on a semi-monthly basis. On Monday of each payroll-processing week, the Senior Director of Finance and Finance & Operations Managers perform the following:

- Ensure that all employee time sheets have been submitted.
- Review time sheets for proper signature and supervisory approval.
- Total the hours and calculate gross pay in spreadsheet form.
- On Tuesday afternoon, electronically transmit the employees' hours worked, including pertinent information such as sick and vacation days taken, to the payroll processing company.

The payroll processing company calculates gross pay and all withholdings and prints the paychecks. Payroll records are automatically posted and relevant tax return data are stored. The payroll processing company provides a payroll package, which is delivered to DPPS' front desk two days from the pay date. The payroll information is received by the DPPS Senior Director of Finance and checked for accuracy and completeness. In cases of emergencies where a manual payroll check needs to be issued, the manual check will be issued only after consultation with the DPPS Senior Director of Human Resources and following the payroll processing company's recommended breakdown of gross pay and applicable deductions. All manual payroll checks will be submitted to the payroll processing company on the very next payroll submission, for purposes of updating the employee payroll records.

### Terminations and Resignation

The DPPS Senior Director of Finance and Finance & Operations Managers ensure that terminated employees who have resigned are removed from the payroll immediately after their last payment is made.

#### Distribution of Pay Checks

All payroll checks (non-direct and direct deposit) are distributed to the employees by the DPPS Senior Director of Finance.

#### Role of the Payroll Processing Company

The payroll processing company's services include the calculation and electronic deposit of all federal and state taxes, the preparation of all quarterly payroll tax returns and the preparation of the annual Form W-3 and supporting W-2 statements.

#### Recording Payroll into General Ledger

Based on the payroll processing company records, the Finance & Operations Manager records the payroll into the general ledger on a semi-monthly basis.

#### Reconciling Employee Payroll Deductions

On a monthly basis, the Finance & Operations Manager reconciles deductions made from employees to the payments made to insurers, benefit plan providers and other payees.

#### Quarterly Reconciliation of Payroll to Accounting Records

On a quarterly basis, the DPPS Senior Director of Finance performs a reconciliation of all salary accounts in the general ledger, as compared to the salary reported by the payroll processing company on the Form 941 and/or other Quarterly Payroll Return. Any variances are researched and cleared within the month following quarter end.

#### Annual Reconciliation of Payroll to Accounting Records

On calendar year basis, the DPPS Senior Director of Finance performs a reconciliation of the following:

- Gross salaries per all Forms 941;
- Gross salaries per W-2 forms;
- Gross salaries per General Ledger;
- Variances are researched and cleared by January 31 of the following year.

## **CONSULTANTS**

DPPS engages consultants to perform professional services, generally including services for testing, professional development, computer services, business operations, fundraising and teacher enrichment programs. The Superintendent receives recommendations from staff and determines if there is a need for

consulting services to complete particular projects at DPPS. The Superintendent selects a consultant or independent contractor using a competitive bidding process if there is a pool of qualified candidates to do the job.

### Competitive Bidding

While a sealed bid may not be required, it is necessary to have three documented bids. A sealed bid results from a pre-circulated request for proposal (RFP) where independent vendors are requested to provide the estimated cost for their services on a predetermined date in a sealed envelope. This process is intended to ensure confidentiality of information, and this maintains competitiveness with regard to the process.

In certain circumstances, there may be only one potential consultant. Exceptions to the bidding requirement include: referrals, extensions or amendments, or when a consultant/independent contractor is a known expert in the field. In this case, the reason why only a single consultant is contacted and a “sole source” agreement is executed must be well documented by the Head of School.

### Consultant Agreements

The Superintendent negotiates a draft Consulting Agreement with the Consultant or Independent Contractor and forwards it to the DPPS Senior Director of Finance who reviews the Consulting Agreement, checks for its compliance with IRS regulations regarding independent contractor agreements and either approves the agreement or recommends changes to bring the agreement into compliance with IRS Publication 15-A. (See the section below called “Determining if Relationships Qualify as Consultant Arrangement”).

All services performed by a consultant should be documented in a written agreement, signed by the Consultant and the Superintendent, and include the following:

- Name, address, and Federal Identification Number/Social Security Number of the consultant;
- Dates covered by the agreement;
- Product or services to be performed;
- Time frame for completion of the deliverables;
- Person in charge of the engagement;
- Dollar amount of the agreement, including expenses for which the consultant will be reimbursed;
- Rates of personnel by classification;
- Termination clause;
- Other special arrangements;
- Indemnification of DPPS from any liability resulting from the consultant’s actions;
- Certify to DPPS that activities and actions will remain private communications;
- Provide an estimate of total cost of services and product to be delivered.

In addition, the consulting agreement should:

- Stipulate that invoices should be on the independent contractor’s stationery and list services rendered;

- Avoid statements that look like time sheets;

When possible, the independent contractor should bill on a flat rate per project, rather than on an hourly rate;

- Include a provision stating that the independent contractor is responsible for completing the job, may hire sub-contractors (subject to the same requirements as the primary contractor) or have employees work on the project, and is liable for contract damages for negligence in the performance of the contract;
- Include contractual provisions requiring that the independent contractor cooperate with the organization in any employment tax audit, including presentation of the worker's Schedule C or other tax forms showing that the income was reported as an independent business;
- The independent contractor should certify that he/she will never file an unemployment claim listing the organization as an employer. The worker should signify in writing that he/she understands that the worker must mark down "self-employed."

All agreements should be submitted to the DPPS Senior Director of Finance for review and approval prior to commencing services and the release of funds.

Note that while it may be necessary to develop and include a line item budget in the consulting agreement, to the extent possible, payment should be made as deliverables and received as per the details of the contractual agreement.

Invoices submitted by the consultant should be signed by the consultant and should detail the deliverables completed and dates of service covered by the invoice presented.

#### Determining if Relationships Qualify as Consultant Arrangements

Prior to entering into a consultant agreement, DPPS must determine that the relationship meets the criteria outlined by the Internal Revenue Service for consulting relationships. Reclassification as an employee by the Internal Revenue Service can trigger additional payroll taxes and potential penalties to DPCS. The consultant must indemnify DPPS that if he/she is deemed not to be an independent contractor, he/she will be responsible for any additional taxes and penalties. The following represents a general guideline to be considered when making this determination.

The primary method to determine a worker's status is based on common law and comprised of a set of twenty factors defined by the IRS.

In some cases, "common law" determination may not be required if:

- The worker is defined by statute, as a statutory employee, or statutory independent contractor; or
- The worker qualifies for a Federal Exception "Reasonable Basis" (Section 530) Common Law Test. The traditional tests to determine whether a worker is an employee or independent contractor involve the concept of control. Are the services of the worker subject to the employer's will and control over what must be done and how it must be done? Facts that provide evidence of

the degree of control and independence fall into three categories: behavioral control, financial control and the type of relationship of the parties.

#### DEGREE OF BEHAVIORIAL CONTROL:

1. Instructions. If the payer has the legal right (whether used or not) to mandate when, where or with what tools, personnel and methods the work is done, the payer has an employer's right to control how the work results are achieved;
2. Training. Through training, the payer controls how the work should be performed, which is more common to an employer-employee relationship;
3. Specifying the Worker. Payers can exercise control by selecting only workers who use approved methods, which is more common to an employer-employee relationship;
4. Available to the Public. A separate economic entity will present itself as such to the public, which is more common to an independent contractor relationship;
5. Employing Assistants. If the worker hires, supervises and pays assistants, these activities imply an economic entity that is separate from the payer, which is more common to an independent contractor relationship;
6. Sequence of Work. Specifying the sequence of the work is an integral part of how work is to be performed, which is more common to an employer-employee relationship;
7. Reporting. Required reporting by the worker implies that the payer has the right to exercise control over how the work is performed, which is more common to an employer-employee relationship;
8. Hours of Work. Specifying precisely when the work can be performed is an integral part of how the work should be performed, which is more common to an employer-employee relationship;
9. Full-time Effort. Full-time workers usually are economically dependent upon the payer. Workers who are economically dependent upon the payer are generally employees;
10. Job Location. Specifying where the work can be performed is an integral part of how the work should be performed, which is more common to an employer-employee relationship.

#### **INVESTMENT OF FUNDS**

The Board of Directors sets the investment policy for the School, providing general guidelines regarding the type of investments deemed appropriate and the objectives of each investment (e.g., overnight deposits for excess cash, 90 Day Treasury notes for excess working capital, etc.). The Board Treasurer, in conjunction with the DPPS Senior Director of Finance, has been designated to direct the implementation of the Board's policy. As per the investment guidelines, the Treasurer and Senior DOF have the authority to:

- Purchase and sell investments;
- Have access to investment certificates;
- Keep records of investments and investment earnings;
- Review and approve investment accounting, bank and broker statement reconciliations, adjustments to the carrying value of investments, and other decisions regarding investments.

#### Authorization of Investment Vehicles

Annually, the School's Board of Directors authorizes the use of specific depository and investment banks and brokerage firms. This authorization is documented in the minutes of the applicable Board Meeting. The DPPS Senior Director of Finance communicates the authorization and a list of those personnel designated as authorized agents for the agency to the appropriate banks and firms. As a part of the annual authorization process, the Board Treasurer, in consultation with the DPPS Senior DOF, evaluates the agency's prior relationship with banks and brokerage firms to determine suitability for renewal. Such evaluation considers service responsiveness, types of investments offered, quality of investment advice, service and transaction charges and any other relevant criteria. The review process should be documented in writing.

#### Authorization of Investments

All transactions regarding investments must be properly authorized by the Board's Treasurer and properly communicated to the Board of Directors. Such transactions include:

- Purchases;
- Sales;
- Movement to and from safekeeping (the physical safeguarding of assets through use of a vault, safe deposit box, or independent custodian).

#### Investment Purchases

Funds available for investment are maintained in a separate investment account. Investment purchases are made by check after compliance with the following procedures:

- A determination that the purchase transaction is properly authorized in accordance with agency policy and approval by the Board Treasurer;
- Preparation of a check requisition to accompany the investment purchase/sale authorization form.

#### Investment Sales

Investment sales are transacted after compliance with the following procedures:

- A determination that the sale transaction is properly authorized;
- The sales authorization is sent to the agent handling the sale transaction for investments held on the premises. Authorization to the agent is communicated in writing. If investments are kept off site, authorization to release the document from safekeeping is provided to the custodian. The custodian provides the agency with a receipt documenting the release from safekeeping. The receipt should be filed in the investment files.

#### Investment Sales Gain or Loss

The DPPS Senior Director of Finance will calculate the expected gain or loss upon sale or other disposition of an investment before a decision regarding the sale is finalized. The calculation is updated/finalized subsequent to the sale and documented in the investment file.

#### Investment Sales Proceeds

Proceeds from the sale of investments are received either by check or bank transfer, to the attention of the DPPS Senior DOF. A copy of the receipt or deposit ticket is included in the investment file.

#### Investment Results Reports

Monthly reports detailing the earnings and activity of all investment accounts are prepared by the DPPS Senior DOF and distributed to appropriate management and board personnel. The summary of all transactions for the month is recorded in the general ledger through the use of a journal entry. Journal entries are reviewed by the DPPS Senior DOF and a copy forwarded to the Treasurer.

#### Reconciliation of Investment Accounts

Investment account balances are reconciled with the general ledger balance by the DPPS Senior Director of Finance on a quarterly basis. Such reconciliations are reviewed and approved by the Senior DOF with copies forwarded to the Treasurer.

#### Investment Account Balances Agreed to Third Party Statements

Amounts recorded on the general ledger and supporting schedules are reconciled to third-party statements at least quarterly and preferably monthly, if possible. For those investments held on the agency's premises or in a safe deposit vault, quarterly physical inventories are performed and reconciled to the supporting schedules. The DPPS Senior Director of Finance reviews and initials these reconciliations.

### **FIXED ASSETS**

Fixed Assets are the non-liquid assets that are required for the School's day-to-day operations. They include facilities, equipment, computer software, furniture, fixtures and real property. As a general guideline, a fixed asset is a non-consumable item whose purchase price is equal to or greater than \$1,000. Each asset will fall into one of the following broad categories:

- Land;
- Buildings and facilities;
- Machinery and equipment;
- Furniture, fixtures, and office equipment;
- Leasehold improvements;
- Computer equipment, including software;
- Construction in progress;
- Automobiles and transportation equipment;
- Equipment leased under terms that meet criteria for capital leases.

#### Asset Inventory

All assets are identified, tagged (when appropriate) and entered into the detailed fixed asset ledger. The ledger should contain the following data:

- Name and description;
- Serial number, model number, or other identification;
- Vendor name, acquisition date and cost;
- Location and condition of equipment;
- Ultimate disposition data, including date of disposal.

On an annual basis, the School must perform a physical inventory of its fixed assets, and the books and records are reconciled to the results of the physical inventory. Discrepancies are resolved by the DPPS Senior Director of Finance in conjunction with the Finance & Operations Manager. Adjustments to the School's records can be made only with the authorization of the DPPS Senior DOF.

#### Asset Depreciation

The depreciation schedule for each asset is based on the expected useful life of the asset. Depreciable assets are carried at the original net acquisition cost. Non-depreciable assets (e.g., land) are carried at the original net cost. The DPPS Senior Director of Finance is responsible for determining the method of depreciation to be used for each category of capital assets. The justification for the method selected will be well documented. Accelerated methods are used in situations where an asset's physical usefulness or value declines quickly in the earlier years (e.g., computers). Fully depreciated assets will remain on the School's records with the related accumulated depreciation as long as the asset/property is still in use.

Assets purchased with the government funds are tracked and monitored in the manner outlined above; however, on an interim basis, these acquisitions will be expensed as part of the program costs reportable under the grant. At the end of the year, the full cost is capitalized and depreciated over the assigned asset life, in accordance with generally accepted accounting principles.

Title to certain assets purchased with governmental funds may at times remain with the funder until the expiration of the grant, at which time the assets revert back to the School, unless the funder assigns the asset to another organization. Since these assets are critical to the presentation of a complete Statement of Financial Position, the School will capitalize them and provide proper disclosures in the footnotes to the annual financial statements.

#### Disposal of Fixed Assets

Control over the disposition of property is maintained not only to preserve the accuracy of the records but also to ensure that assets are safeguarded, improper disposal is prevented, and the best possible terms are received for disposal.

When the disposal of an asset is being contemplated, a Disposal Form is submitted to the DPPS Senior Director of Finance. Only upon written authorization from the DPPS Senior DOF, who may be required to seek approval from a related funder, will an asset be removed from the premises.

At the time the property is retired, the cost is removed from the appropriate asset amount. The related accumulated depreciation, including depreciation to date of disposal, is removed from the allowance for depreciation account, and the profit or loss, adjusted for the cost of removal, is recorded as an income (gain) or expense (loss) item.

When the disposal is via a trade-in of a similar asset, the acquired asset is recorded at the book value of the trade-in asset plus any additional cash paid. In no instance should such cost exceed the fair market value for the new asset.

## **TRACKING RESTRICTED FUNDING**

The bulk of the funding that the School will receive will be governmental funding, some of it unrestricted and some of it restricted for particular program areas or expenditures.

The School's accounting system allows the Finance & Operations Manager to allocate restricted funds to allowable expenses via the Class function. Using the approved budget submitted to the granting agency as

the basis for the attributing expenses to a Class of revenues, the Finance & Operations Manager in conjunction with appropriate staff members, will be responsible for tracking and reporting the use of restricted revenues, as required by the grant guidelines.

Most government grant contracts operate on a cost reimbursement basis. In this method, the School must have incurred the expenses before it can request reimbursement from the funding source. In preparing the monthly voucher submitted to the funding source, the DPPS Senior Director of Finance is responsible for the reconciliation of the books and records for the particular grant and ensures that only incurred costs are included in the monthly voucher submitted to the funding agency.

Certain government contracts will assist the School's cash flow by providing up to 25% of the full contract as an advance, to be recouped via reduction to subsequent payments throughout or toward the end of the contract. The School recognizes that these advances are a liability to the agency and incorporates future recoupments by the funder into the cash flow forecast.

Certain government funders, even when not including a federal pass-through, will require the School to follow the federal costing principles. To ensure compliance with the funder's requirements, the DPPS Senior DOF is responsible for reviewing each grant/contract prior to final acceptance by the School and will ensure ultimate compliance therewith.

## **CLOSING THE BOOKS & REPORTING**

The School will complete its monthly accounting close by the 20<sup>th</sup> of the every month to reflect the previous month's activity. On this date, all bank reconciliations are completed, and appropriate month-end adjustments are recorded. The following reposts will be generated:

- Statement of Financial Position/Balance Sheet;
- Statement of Activities for the month-to-date and year-to-date;
- Statement of Revenues and Expenses;
- Budget Comparison Report for the month to date and year to date.

These reports provide the basis for the DPPS Senior Director of Finance to request that the Finance & Operations Manager performs certain account analysis in areas where variances seem inappropriate or where additional information is needed.

On a bi-monthly basis, the Senior Director of Finance will present the following reports to the Board of Directors (the reports should ideally be circulated one week prior to the scheduled Board Meeting):

- Statement of Financial Position/Balance Sheet;
- Statement of Activities for the month-to-date and year-to-date;
- Budget Comparison Report for the month-to-date and year-to-date, incorporating a variance analysis explaining variances in excess of 10% from the actual to the originally approved budget;
- Updated cash flow model for the coming twelve months, highlighting any periods of difficult cash flows.

In addition to this package, the DPPS Senior Director of Finance, in conjunction with the DPPS External Affairs Manager, will provide a status of the School's fundraising efforts, open proposals, etc.

## **ANNUAL AUDIT**

Agencies receiving more than \$300,000 in federal funds must undergo an independent audit. As a largely publicly funded entity, the School is subject to such an audit. The Board of Directors will engage an audit firm. The audit will be performed shortly following the close of the School's fiscal year-end.

Several months prior to the fiscal year-end, Democracy Prep staff will conduct an in-depth, internal assessment of the School's records and files to ensure that the School is prepared for the annual audit.

## **RECORD RETENTION**

The School's financial records will be maintained for the periods sufficient to satisfy IRS regulations, federal grant requirements, OMB A-133 audit requirements, if applicable, and other legal requirements. Record retention requirements will be reviewed annually with legal counsel and independent auditors to determine any necessary changes.

**G. The Balanced Scorecard**

To hold school leaders and school boards accountable, DPPS will utilize the Balanced Scorecard, a school quality review matrix developed by DPPS Founder and Superintendent Seth Andrew, and presented nationwide as an innovative quantitative evaluation model. The Balanced Scorecard combines absolute, value-added, and comparative metrics to assess school quality in 10 key areas of school accountability: 4 key subject areas, college preparation, civic engagement, school culture, financial management, administrative oversight, and public accountability. Core subject metrics include state assessments, internally-developed assessments, and nationally-normed assessments such as the Terra Nova or the Measure of Academic Progress (MAP). School culture metrics quantify student behavior (suspensions, attendance, etc.), and financial/organizational metrics assess budget status, staff satisfaction, parent demand, and student attrition among others. Poor scores on the Balanced Scorecard will trigger extensive DPPS intervention and possible closure (discussed in-depth in Selection Criteria Section D: Management Plan).

# Democracy Prep Balanced Scorecard and Leadership Evaluation Tool

**ABOUT THE DEMOCRACY PREP BALANCED SCORECARD:**

The Balanced Scorecard approach creates a single quantitative document that evaluates 100 key indicators of Democracy Prep’s success and allows our Board and outside evaluators to determine if the school and leadership are meeting our goals and terms of our charter every year. In general, target measures were chosen so that we will exceed our goals if we exceed state averages, we will meet our goal if we exceed New York City averages, and we will fail to meet our goals if we do not surpass city measures by our third year.<sup>34</sup>

The following goal worksheets cover the three paramount goals for Democracy Prep. The Head of School is responsible for all goals, the Dean of Curriculum & Instruction for Academic Excellence, the Dean of Students & Families for Mission Advancement, and the Director of Operations for Organizational Strength. In total, there are 10 individual goals with 10 quantifiable metrics for each goal. One metric can be evaluated for up to five cohorts once we grow to grades 6-10, though not all metrics (e.g. Advanced Placement, SAT, & Regents Exams) can be used for each grade level.

INDIVIDUAL GOAL	PARAMOUNT GOAL	TOTAL SCORE
1) English Accountability	Academic Excellence	
2) Math Accountability	Academic Excellence	
3) Social Studies Accountability	Academic Excellence	
4) Science Accountability	Academic Excellence	
5) College Accountability	Mission Advancement	
6) Civic Accountability	Mission Advancement	
7) REACH Accountability	Mission Advancement	
8) Financial Accountability	Organizational Strength	
9) Administrative Accountability	Organizational Strength	
10) Public Accountability	Organizational Strength	
<b>TOTAL SCORE</b>		

OTHER ATTACHMENTS FORM

DPPS

**HOW TO USE THE GOAL WORKSHEETS:**

<b>TOTAL SCORE / 10 = TOTAL ACCOUNTABILITY</b>	
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- 1) For each goal, gather the most accurate data available to determine the score for each cohort of students.<sup>35</sup>
- 2) For each measure, at each cohort level, determine whether Democracy Prep has exceeded, met, approached, or failed to meet our target. Check the box in the corresponding column.
- 3) Complete the worksheet and total the number of measures for each column. Multiply the total number of metrics achieved by the column weight to determine the performance points earned in each category. Add the total points and divide by the total number of cohort metrics evaluated.
- 4) The resulting number, which should fall between 0 and 4, is the Accountability Score for that goal.
- 5) Enter the Accountability Score for all 10 individual goals into the chart to the right to determine our Total Accountability score.

**Total Accountability = < 2.5    Does not Meet Expectations**  
**2.5-3.25    Meets Expectations**  
**> 3.25    Exceeds Expectations**

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<sup>35</sup>A cohort year represents all the students who have attended Democracy Prep for that number of years. For example all students in cohort 1, the college class of 2017, will have attended Democracy Prep for 1 year. The same group of students will be in cohort year 2 the following year. By cohort year 5 most students will have completed the 10<sup>th</sup> grade. If a student enters Democracy Prep in a grade other than 6<sup>th</sup> or they are retained for lack of academic proficiency, they will be included in a separate “B” cohort with students who have been at the school for the same amount of time regardless of what grade they are in. If a student leaves Democracy Prep, their score will be removed from the cohort baseline to ensure that cohorts are comparing groups of the exact same students over time.

# I. Academic Excellence Goals

**Goal 1) Democracy Prep students will demonstrate significant improvement in, and high levels of, proficiency in the reading and writing of Standard English.**

<b>G1</b>	<b>Goal 1- English Measures</b>	<b>Type of Measure</b>	<b>Cohort Year</b>	<b>DP Does Not Meet Expectations</b>	<b>DP Approaches Expectations</b>	<b>DP Meets Expectations</b>	<b>DP Exceeds Expectations</b>
1.1	Percent of DP Students Proficient or Advanced on the New York City & State ELA Exam	Absolute	1	< 25% <input type="checkbox"/>	26%-35% <input type="checkbox"/>	36%-50% <input type="checkbox"/>	> 50% <input type="checkbox"/>
			2	< 30% <input type="checkbox"/>	31%-50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	> 65% <input type="checkbox"/>
			3	< 35% <input type="checkbox"/>	36%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
1.2	Percent of DP Students passing NY Regents Comprehensive ELA with a score of 65%	Absolute	3 <sup>36</sup>	< 10% <input type="checkbox"/>	11%-25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	> 40% <input type="checkbox"/>
			4	< 25% <input type="checkbox"/>	26%-50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	> 65% <input type="checkbox"/>
			5	< 40% <input type="checkbox"/>	41%-70% <input type="checkbox"/>	71%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
1.3	Percent of Students Scoring 70% or higher on DP Post-Test Comprehensive Exams in Reading & Writing	Absolute	1	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			2	< 55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			3	< 60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			4	< 65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	76%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
			5	< 70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	81%-90% <input type="checkbox"/>	> 90% <input type="checkbox"/>
1.4	DP Cohort Average Score Compared to National Peers on the MAP ELA Exams (Reading, Listening, Language, and Spelling)	Comparative	1	< 10% <input type="checkbox"/>	11%-20% <input type="checkbox"/>	21%-35% <input type="checkbox"/>	> 35% <input type="checkbox"/>
			2	< 25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	41%-55% <input type="checkbox"/>	> 55% <input type="checkbox"/>
			3	< 40% <input type="checkbox"/>	41%-50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	> 60% <input type="checkbox"/>
			4	< 45% <input type="checkbox"/>	46%-55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	> 65% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
1.5	Percent of individual DP Students scoring above 50% of their national peers on the MAP ELA Exams (Reading, Listening, Language, and Spelling)	Comparative	1	< 10% <input type="checkbox"/>	11%-25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	> 40% <input type="checkbox"/>
			2	< 25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	41%-55% <input type="checkbox"/>	> 55% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			4	< 65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	76%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
			5	< 70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	81%-90% <input type="checkbox"/>	> 90% <input type="checkbox"/>

## Goal 1) English Accountability (cont.)

<sup>36</sup> All students from grade 8-11 at Democracy Prep will have the opportunity to take and pass all Regents Exams for an Advanced Regents Diploma before being admitted into the Senior Academy

G1	Goal 1- English Measures	Type of Measure	Cohort Year	DP Does Not Meet Expectations	DP Approaches Expectations	DP Meets Expectations	DP Exceeds Expectations
1.6	Percent of DP Students Proficient or Advanced on New York City & State ELA Exam	Comparative	1	< District 5 <input type="checkbox"/>	Within 5% of Similar schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	> City Schools <input type="checkbox"/>
			2	< Similar Schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>
			3	< City Schools <input type="checkbox"/>	Within 5% State Schools <input type="checkbox"/>	5% better than State Schools <input type="checkbox"/>	> State Schools +10% <input type="checkbox"/>
1.7	Percent of DP Students passing NY Regents Comprehensive English Exam with a 65%	Comparative	3	< District 5 <input type="checkbox"/>	Within 5% of Similar schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	> City Schools <input type="checkbox"/>
			4	< Similar Schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>
			5	< City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>	> State Schools +10% <input type="checkbox"/>
1.8	Percent of DP Students Increasing by 5 Normal Curve Equivalents (NCE) on the MAP ELA Exams	Value Added	1	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <sup>37</sup> <input type="checkbox"/>	> 75% <input type="checkbox"/>
			2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			4	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
1.9	Percent of DP Students Increasing by 10 scale score points on the NYC/NYS ELA Exam	Value Added	1	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
1.10	Percent of DP Students Increasing by 10% on the NYS Regents Comprehensive English Exam	Value Added	4	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
TOTAL COHORT METRICS EVALUATED			___				
PERFORMANCE TOTAL IN EACH CATEGORY				___	___	___	___
PERFORMANCE POINTS IN EACH CATEGORY =				___ *0= ___	___ *2= ___	___ *3= ___	___ *4= ___
TOTAL PERFORMANCE POINTS			___				
TOTAL PERFORMANCE POINTS/ COHORT METRICS EVALUATED =							<b>ENGLISH ACCOUNTABILITY</b>

<sup>37</sup> As a greater percentage of Democracy Prep students approach the upper quartile, value added gains of the same magnitude become harder to achieve.

**Goal 2) Democracy Prep students will demonstrate significant improvement in, and high levels of, proficiency in Mathematics.**

<u>G2</u>	<u>Goal 2- Math Measures</u>	<u>Type of Measure</u>	<u>Cohort Year</u>	<u>DP Does Not Meet Expectations</u>	<u>DP Approaches Expectations</u>	<u>DP Meets Expectations</u>	<u>DP Exceeds Expectations</u>
2.1	Percent of DP Students Proficient or Advanced on New York City & State Math Exam	Absolute	1	< 25% <input type="checkbox"/>	26%-35% <input type="checkbox"/>	36%-50% <input type="checkbox"/>	> 50% <input type="checkbox"/>
			2	< 30% <input type="checkbox"/>	31%-50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	> 65% <input type="checkbox"/>
			3	< 35% <input type="checkbox"/>	36%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
2.2	Percent of DP Students passing New York State Math Regents Exam with a score of 65% or better	Absolute	3	< 10% <input type="checkbox"/>	11%-25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	> 40% <input type="checkbox"/>
			4	< 25% <input type="checkbox"/>	26%-50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	> 65% <input type="checkbox"/>
			5	< 40% <input type="checkbox"/>	41%-70% <input type="checkbox"/>	71%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
2.3	Percent of DP Students Scoring 70% or higher on Comprehensive Post-Test Exams in Math Problem Solving & Math Skills	Absolute	1	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			2	< 55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			3	< 60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			4	< 65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	76%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
			5	< 70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	81%-90% <input type="checkbox"/>	> 90% <input type="checkbox"/>
2.4	DP Cohort Average Score on MAP Math Exams Compared to National Peers	Comparative	1	< 10% <input type="checkbox"/>	11%-20% <input type="checkbox"/>	21%-35% <input type="checkbox"/>	> 35% <input type="checkbox"/>
			2	< 25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	41%-55% <input type="checkbox"/>	> 55% <input type="checkbox"/>
			3	< 40% <input type="checkbox"/>	41%-50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	> 60% <input type="checkbox"/>
			4	< 45% <input type="checkbox"/>	46%-55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	> 65% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
2.5	Percent of DP Students scoring above 50% of their national peers on MAP Math Exams	Comparative	1	< 10% <input type="checkbox"/>	11%-25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	> 40% <input type="checkbox"/>
			2	< 25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	41%-55% <input type="checkbox"/>	> 55% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			4	< 65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	76%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
			5	< 70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	81%-90% <input type="checkbox"/>	> 90% <input type="checkbox"/>
2.6	Percent of DP Students Proficient or Advanced on New York City & State Math Exam	Comparative	1	< District 5 <input type="checkbox"/>	Within 5% of Similar Schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	> City Schools <input type="checkbox"/>
			2	< Similar Schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>
			3	< City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools +5% <input type="checkbox"/>	> State Schools +10% <input type="checkbox"/>

**Goal 2) Math Accountability (Cont.)**

OTHER ATTACHMENTS FORM

DPPS

G2	Goal 2- Math Measures	Type of Measure	Cohort Year	DP Does Not Meet Expectations	DP Approaches Expectations	DP Meets Expectations	DP Exceeds Expectations
2.7	Percent of DP Students passing State Math A Regents Exam with a score of 65% or higher	Comparative	3	< District 5 <input type="checkbox"/>	Within 5% of Similar Schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	> City Schools <input type="checkbox"/>
			4	< Similar Schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>
			5	< City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>	> State Schools +10% <input type="checkbox"/>
2.8	Percent of DP Students Increasing by 5 Normal Curve Equivalents (NCE) on MAP Math Exams	Value Added	1	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			4	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-55% <input type="checkbox"/>	56%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
2.9	Percent of DP Students Increasing by 10 scale score points on the NYC/NYS Math Exam	Value Added	1	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
2.10	Percent of DP Students Increasing by 10% on the NYC & State Math A Regents Exam	Value Added	4	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
TOTAL COHORT METRICS EVALUATED			___				
PERFORMANCE TOTAL IN EACH CATEGORY				___	___	___	___
PERFORMANCE POINTS IN EACH CATEGORY =				___ *0= ___	___ *2= ___	___ *3= ___	___ *4= ___
TOTAL PERFORMANCE POINTS			___				
TOTAL PERFORMANCE POINTS/ COHORT METRICS EVALUATED =							<b>MATH ACCOUNTABILITY</b>

**Goal 3: Democracy Prep students will demonstrate significant improvement in, and high levels of, proficiency in Social Studies and History.**

<b>G3</b>	<b>Goal 3- Social Studies and History</b>	<b>Type of Measure</b>	<b>Cohort Year</b>	<b>DP Does Not Meet Expectations</b>	<b>DP Approaches Expectations</b>	<b>DP Meets Expectations</b>	<b>DP Exceeds Expectations</b>
3.1	Percent of DP Students Proficient or Advanced on New York City & State Social Studies Exam	Absolute	2	< 30% <input type="checkbox"/>	31%-35% <input type="checkbox"/>	36%-60% <input type="checkbox"/>	> 60% <input type="checkbox"/>
			3	< 35% <input type="checkbox"/>	36%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
3.2	Percent of DP Students passing New York State US History & Government Regents Exam with a score of 65% or better	Absolute	3	< 10% <input type="checkbox"/>	11%-25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	> 40% <input type="checkbox"/>
			4	< 25% <input type="checkbox"/>	26%-50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	> 65% <input type="checkbox"/>
			5	< 40% <input type="checkbox"/>	41%-70% <input type="checkbox"/>	71%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
3.3	Percent of DP Students Scoring 70% or higher on Comprehensive Post-Test Exams in Social Studies and History	Absolute	1	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			2	< 55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			3	< 60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			4	< 65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	76%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
			5	< 70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	81%-90% <input type="checkbox"/>	> 90% <input type="checkbox"/>
3.4	DP Cohort Average Score on MAP Social Science Compared to National Peers	Comparative	1	< 10% <input type="checkbox"/>	11%-20% <input type="checkbox"/>	21%-35% <input type="checkbox"/>	> 35% <input type="checkbox"/>
			2	< 25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	41%-55% <input type="checkbox"/>	> 55% <input type="checkbox"/>
			3	< 40% <input type="checkbox"/>	41%-50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	> 60% <input type="checkbox"/>
			4	< 45% <input type="checkbox"/>	46%-55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	> 65% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
3.5	Percent of DP Students scoring above 50% of their national peers on MAP Social Science Exams	Comparative	1	< 10% <input type="checkbox"/>	11%-25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	> 40% <input type="checkbox"/>
			2	< 25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	41%-55% <input type="checkbox"/>	> 55% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			4	< 65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	76%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
			5	< 70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	81%-90% <input type="checkbox"/>	> 90% <input type="checkbox"/>
3.6	Percent of DP Students Proficient or Advanced on New York State Social Studies Exam	Comparative	2	< Similar Schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>
			3	< City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools +5% <input type="checkbox"/>	> State Schools +10% <input type="checkbox"/>

**Goal 3) Social Studies Accountability (cont.)**

<b>G3</b>	<b>Goal 3- Social Studies and History</b>	<b>Type of Measure</b>	<b>Cohort Year</b>	<b>DP Does Not Meet Expectations</b>	<b>DP Approaches Expectations</b>	<b>DP Meets Expectations</b>	<b>DP Exceeds Expectations</b>
3.7	Percent of DP Students passing State US History & Government Regents Exam with a score of 65% or higher	Comparative	3	< District 5 <input type="checkbox"/>	Within 5% of Similar Schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	> City Schools <input type="checkbox"/>
			4	< Similar Schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>
			5	< City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>	> State Schools +10% <input type="checkbox"/>
3.8	Percent of DP Students Increasing by 5 Normal Curve Equivalents (NCE) on MAP Social Science Exams	Value Added	1	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			4	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-55% <input type="checkbox"/>	56%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
3.9	Percent of DP Students Increasing by 10 scale score points on the State Social Studies Exam	Value Added	2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
3.10	Percent of DP Students Increasing by 10% on the State US History & Government Regents Exam	Value Added	4	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
<b>TOTAL COHORT METRICS EVALUATED</b>			---				
<b>PERFORMANCE TOTAL IN EACH CATEGORY</b>				---	---	---	---
<b>PERFORMANCE POINTS IN EACH CATEGORY =</b>				___*0= ___	___*2= ___	___*3= ___	___*4= ___
<b>TOTAL PERFORMANCE POINTS</b>			---				
TOTAL PERFORMANCE POINTS/ COHORT METRICS EVALUATED =			<b>SOCIAL STUDIES                  ACCOUNTABILITY</b>				

**Goal 4) Democracy Prep students will demonstrate significant improvement in, and high levels of, proficiency in Science.**

<b>G4</b>	<b>Goal 4- Science</b>	<b>Type of Measure</b>	<b>Cohort Year</b>	<b>DP Does Not Meet Expectations</b>	<b>DP Approaches Expectations</b>	<b>DP Meets Expectations</b>	<b>DP Exceeds Expectations</b>
4.1	Percent of DP Students Proficient or Advanced on New York State Science Exam	Absolute	2	< 20% <input type="checkbox"/>	21%-35% <input type="checkbox"/>	36%-50% <input type="checkbox"/>	> 50% <input type="checkbox"/>
			3	< 35% <input type="checkbox"/>	36%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
4.2	Percent of DP Students passing New York State Living Environment or Earth Science Regents Exam with a score of 65% or better	Absolute	3	< 10% <input type="checkbox"/>	11%-25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	> 40% <input type="checkbox"/>
			4	< 25% <input type="checkbox"/>	26%-50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	> 65% <input type="checkbox"/>
			5	< 40% <input type="checkbox"/>	41%-70% <input type="checkbox"/>	71%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
4.3	Percent of DP Students Scoring 70% or higher on Comprehensive Post-Test Exams in Science	Absolute	1	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			2	< 55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			3	< 60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			4	< 65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	76%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
			5	< 70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	81%-90% <input type="checkbox"/>	> 90% <input type="checkbox"/>
4.4	DP Cohort Average Score on MAP Science Exams Compared to National Peers	Comparative	1	< 10% <input type="checkbox"/>	11%-20% <input type="checkbox"/>	21%-35% <input type="checkbox"/>	> 35% <input type="checkbox"/>
			2	< 25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	41%-55% <input type="checkbox"/>	> 55% <input type="checkbox"/>
			3	< 40% <input type="checkbox"/>	41%-50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	> 60% <input type="checkbox"/>
			4	< 45% <input type="checkbox"/>	46%-55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	> 65% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
4.5	Percent of DP Students scoring above 50% of their national peers on MAP Science Exams	Comparative	1	< 10% <input type="checkbox"/>	11%-25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	> 40% <input type="checkbox"/>
			2	< 25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	41%-55% <input type="checkbox"/>	> 55% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			4	< 65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	76%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
			5	< 70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	81%-90% <input type="checkbox"/>	> 90% <input type="checkbox"/>
4.6	Percent of DP Students Proficient or Advanced on New York State Science Exam	Comparative	2	< Similar Schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>
			3	< City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools +5% <input type="checkbox"/>	> State Schools +10% <input type="checkbox"/>

**Goal 4) Science Accountability (cont.)**

<b>G4</b>	<b>Goal 4- Science</b>	<b>Type of Measure</b>	<b>Cohort Year</b>	<b>DP Does Not Meet Expectations</b>	<b>DP Approaches Expectations</b>	<b>DP Meets Expectations</b>	<b>DP Exceeds Expectations</b>
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OTHER ATTACHMENTS FORM

DPPS

4.7	Percent of DP Students passing New York State Living Environment or Earth Science Regents Exam with a score of 65% or higher	Comparative	3	< District 5 <input type="checkbox"/>	Within 5% of Similar Schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	> City Schools <input type="checkbox"/>	
			4	< Similar Schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>	
			5	< City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>	> State Schools +10% <input type="checkbox"/>	
4.8	Percent of DP Students Increasing by 5 Normal Curve Equivalents (NCE) on MAP Science Exams	Value Added	1	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>	
			2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>	
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>	
			4	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>	
			5	< 50% <input type="checkbox"/>	51%-55% <input type="checkbox"/>	56%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>	
4.9	Percent of DP Students Increasing by 10 scale score points on the State Science Exam	Value Added	2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>	
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>	
4.10	Percent of DP Students Increasing by 10% on the State Living Environment or Earth Science Regents Exam	Value Added	4	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>	
			5	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>	
TOTAL COHORT METRICS EVALUATED			___					
PERFORMANCE TOTAL IN EACH CATEGORY				___	___	___	___	
PERFORMANCE POINTS IN EACH CATEGORY =				___ *0= ___	___ *2= ___	___ *3= ___	___ *4= ___	
TOTAL PERFORMANCE POINTS			___					
TOTAL PERFORMANCE POINTS/ COHORT METRICS EVALUATED			= <b>SCIENCE ACCOUNTABILITY</b>					

## II. Mission Advancement Goals

**Goal 5) Democracy Prep students will demonstrate significant progress towards preparation for success in the college of their choice.**

<b>G5</b>	<b>Goal 5- College Prep &amp; Success</b>	<b>Type of Measure</b>	<b>Cohort Year</b>	<b>DP Does Not Meet Expectations</b>	<b>DP Approaches Expectations</b>	<b>DP Meets Expectations</b>	<b>DP Exceeds Expectations</b>
5.1	Percent of DP students passing 4 Regents Exams before the end of 10 <sup>th</sup> grade	Absolute	5	< 20% <input type="checkbox"/>	21%-35% <input type="checkbox"/>	36%-50% <input type="checkbox"/>	> 50% <input type="checkbox"/>
5.2	Percent of DP Students Passing Democracy Prep College Preparation Portfolio	Absolute	2	< 40% <input type="checkbox"/>	41%-55% <input type="checkbox"/>	56%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			4	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
5.3	Percent of DP Students passing 4 Comprehensive Post-Test exams	Absolute	1	< 40% <input type="checkbox"/>	41%-50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	> 60% <input type="checkbox"/>
			2	< 45% <input type="checkbox"/>	46%-55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	> 65% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			4	< 55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			5	< 60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
5.4	Percent of DP Students completing an Academic Honors Thesis	Absolute	1	< 10% <input type="checkbox"/>	11%-25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	> 40% <input type="checkbox"/>
			2	< 25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	41%-55% <input type="checkbox"/>	> 55% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			4	< 65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	76%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
			5	< 70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	81%-90% <input type="checkbox"/>	> 90% <input type="checkbox"/>
5.5	Percent of DP Students Passing Oral Exhibition and Interview	Absolute	2	< 40% <input type="checkbox"/>	41%-55% <input type="checkbox"/>	56%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			4	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
5.6	Percent of DP Students passing Democracy Prep Courses	Absolute	1	< 40% <input type="checkbox"/>	41%-50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	> 60% <input type="checkbox"/>
			2	< 45% <input type="checkbox"/>	46%-55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	> 65% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			4	< 55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			5	< 60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>

### Goal 5) College Preparation Accountability (cont.)

G5	Goal 5- College Prep & Success	Type of Measure	Cohort Year	DP Does Not Meet Expectations	DP Approaches Expectations	DP Meets Expectations	DP Exceeds Expectations
5.7	Percent of DP Students who earn 6 college visits each year	Absolute	1	< 40% <input type="checkbox"/>	41%-50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	> 60% <input type="checkbox"/>
			2	< 45% <input type="checkbox"/>	46%-55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	> 65% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			4	< 55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			5	< 60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
5.8	Percent of DP Students a score above the national mean on the PSAT/SAT	Comparative	5	< 20% <input type="checkbox"/>	21%-35% <input type="checkbox"/>	36%-50% <input type="checkbox"/>	> 50% <input type="checkbox"/>
5.9	Percent of DP Students Passing 4 Regents Exams before the end of 10 <sup>th</sup> grade	Comparative	3	< District 5 <input type="checkbox"/>	Within 5% of Similar Schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	> City Schools <input type="checkbox"/>
			4	< Similar Schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>
			5	< City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>	> State Schools +10% <input type="checkbox"/>
5.10	Percent of DP Students increasing GPA by 5% compared to previous year	Value Added	1	< 10% <input type="checkbox"/>	11%-25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	> 40% <input type="checkbox"/>
			2	< 25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	41%-55% <input type="checkbox"/>	> 55% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			4	< 65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	76%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
			5	< 70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	81%-90% <input type="checkbox"/>	> 90% <input type="checkbox"/>
TOTAL COHORT METRICS EVALUATED			___				
PERFORMANCE TOTAL IN EACH CATEGORY				___	___	___	___
PERFORMANCE POINTS IN EACH CATEGORY =				___*0= ___	___*2= ___	___*3= ___	___*4= ___
TOTAL PERFORMANCE POINTS			___				
TOTAL PERFORMANCE POINTS/ COHORT METRICS EVALUATED			=	<b>COLLEGE ACCOUNTABILITY</b>			

**Goal 6: Democracy Prep students will demonstrate significant progress towards a life of active Citizenship.**

<u>G6</u>	<u>Goal 6- Citizenship Prep &amp; Success</u>	<u>Type of Measure</u>	<u>Cohort Year</u>	<u>DP Does Not Meet Expectations</u>	<u>DP Approaches Expectations</u>	<u>DP Meets Expectations</u>	<u>DP Exceeds Expectations</u>
6.1	Percent of DP Students Passing the Regents Exam in US History & Citizenship	Absolute	3	< 10% <input type="checkbox"/>	11%-25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	> 40% <input type="checkbox"/>
			4	< 25% <input type="checkbox"/>	26%-50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	> 65% <input type="checkbox"/>
			5	< 40% <input type="checkbox"/>	41%-70% <input type="checkbox"/>	71%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
6.2	Percent of DP Students Proficient on Grade 8 NAEP Civics exam	Absolute	1	< 10% <input type="checkbox"/>	11%-25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	> 40% <input type="checkbox"/>
			2	< 25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	41%-55% <input type="checkbox"/>	> 55% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			4	< 65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	76%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
			5	< 70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	81%-90% <input type="checkbox"/>	> 90% <input type="checkbox"/>
6.3	Percent of DP Students Passing US Citizenship Naturalization Exam with 70% or better	Absolute	1	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
6.4	Percent of DP Students who win Awards for participation in interscholastic Speech & Debate	Absolute	1	< 10% <input type="checkbox"/>	11%-25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	> 40% <input type="checkbox"/>
			2	< 25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	41%-55% <input type="checkbox"/>	> 55% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			4	< 65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	76%-85% <input type="checkbox"/>	> 85% <input type="checkbox"/>
			5	< 70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	81%-90% <input type="checkbox"/>	> 90% <input type="checkbox"/>
6.5	Satisfaction by community partners on exit surveys for students who participate in approved Community Service programs	Absolute	1	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			4	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
6.6	Percent of DP Students who earn 6 Saturday Civic Expeditions a year	Absolute	1	< 40% <input type="checkbox"/>	41%-50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	> 60% <input type="checkbox"/>
			2	< 45% <input type="checkbox"/>	46%-55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	> 65% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
			4	< 55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			5	< 60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>

**Goal 6) Civic Accountability (cont.)**

G6	Goal 6- Citizenship Prep & Success	Type of Measure	Cohort Year	DP Does Not Meet Expectations	DP Approaches Expectations	DP Meets Expectations	DP Exceeds Expectations
6.7	Percent of DP Students who earn 6 college visits each year	Comparative	1	< 10% <input type="checkbox"/>	11%-20% <input type="checkbox"/>	21%-35% <input type="checkbox"/>	> 35% <input type="checkbox"/>
			2	< 25% <input type="checkbox"/>	26%-40% <input type="checkbox"/>	41%-55% <input type="checkbox"/>	> 55% <input type="checkbox"/>
			3	< 40% <input type="checkbox"/>	41%-50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	> 60% <input type="checkbox"/>
			4	< 45% <input type="checkbox"/>	46%-55% <input type="checkbox"/>	56%-65% <input type="checkbox"/>	> 65% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-70% <input type="checkbox"/>	> 70% <input type="checkbox"/>
6.8	Percent of DP Students who voluntarily report having been involved in the juvenile justice system	Comparative	1	> District 5 <input type="checkbox"/>	Within 5% of Similar Schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	< City Schools <input type="checkbox"/>
			2	> Similar Schools <input type="checkbox"/>	Within 5% of City Schools <input type="checkbox"/>	Within 5% of State Schools <input type="checkbox"/>	< State Schools <input type="checkbox"/>
			3	> City Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>	< State Schools <input type="checkbox"/>	< State Schools +10% <input type="checkbox"/>
			4	> City Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>	< State Schools <input type="checkbox"/>	< State Schools +10% <input type="checkbox"/>
			5	> City Schools <input type="checkbox"/>	> State Schools <input type="checkbox"/>	< State Schools <input type="checkbox"/>	< State Schools +10% <input type="checkbox"/>
6.9	Percent of DP Students Increasing by 5 Normal Curve Equivalents (NCE) on MAP Social Science Sub Test	Value Added	1	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			4	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-55% <input type="checkbox"/>	56%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
6.10	Percent of DP Students Improving by 10% or more from previous year's NAEP Civics Exam	Value Added	1	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			4	< 50% <input type="checkbox"/>	51%-60% <input type="checkbox"/>	61%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-55% <input type="checkbox"/>	56%-75% <input type="checkbox"/>	> 75% <input type="checkbox"/>
<b>TOTAL COHORT METRICS EVALUATED</b>			—				
<b>PERFORMANCE TOTAL IN EACH CATEGORY</b>				—	—	—	—
<b>PERFORMANCE POINTS IN EACH CATEGORY =</b>				— *0=	— *2=	— *3=	— *4=
<b>TOTAL PERFORMANCE POINTS</b>			—				
<b>TOTAL PERFORMANCE POINTS /</b> <b>COHORT METRICS EVALUATED = CIVIC ACCOUNTABILITY</b>							

**Goal 7: Democracy Prep will maintain a safe, structured, and supportive school culture guided by our REACH values.**

<b>G7</b>	<b>Goal 7- Safe, Structured, &amp; Supportive</b>	<b>Type of Measure</b>	<b>Cohort Year</b>	<b>DP Does Not Meet Expectations</b>	<b>DP Approaches Expectations</b>	<b>DP Meets Expectations</b>	<b>DP Exceeds Expectations</b>
7.1	Percent of students with Citizen Cash average > \$70	Absolute	1	< 55% <input type="checkbox"/>	56%-70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			2	< 55% <input type="checkbox"/>	56%-70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			3	< 55% <input type="checkbox"/>	56%-70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			4	< 55% <input type="checkbox"/>	56%-70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			5	< 55% <input type="checkbox"/>	56%-70% <input type="checkbox"/>	71%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
7.2	Out-of-School Suspensions per 100 students <sup>38</sup>	Absolute	1	> 25 <input type="checkbox"/>	17-25 <input type="checkbox"/>	12-16 <input type="checkbox"/>	< 12 <input type="checkbox"/>
			2	> 20 <input type="checkbox"/>	12-20 <input type="checkbox"/>	7-11 <input type="checkbox"/>	< 7 <input type="checkbox"/>
			3	> 15 <input type="checkbox"/>	7-15 <input type="checkbox"/>	5-7 <input type="checkbox"/>	< 5 <input type="checkbox"/>
			4	> 15 <input type="checkbox"/>	7-15 <input type="checkbox"/>	4-7 <input type="checkbox"/>	< 4 <input type="checkbox"/>
			5	> 15 <input type="checkbox"/>	7-15 <input type="checkbox"/>	4-7 <input type="checkbox"/>	< 4 <input type="checkbox"/>
7.3	Expulsions per 100 students	Absolute	1	> 7 <input type="checkbox"/>	7-5 <input type="checkbox"/>	4-3 <input type="checkbox"/>	< 3 <input type="checkbox"/>
			2	> 5 <input type="checkbox"/>	5-4 <input type="checkbox"/>	3-2 <input type="checkbox"/>	< 2 <input type="checkbox"/>
			3	> 3 <input type="checkbox"/>	3-2 <input type="checkbox"/>	1 <input type="checkbox"/>	< 1 <input type="checkbox"/>
			4	> 3 <input type="checkbox"/>	3-2 <input type="checkbox"/>	1 <input type="checkbox"/>	< 1 <input type="checkbox"/>
			5	> 3 <input type="checkbox"/>	3-2 <input type="checkbox"/>	1 <input type="checkbox"/>	< 1 <input type="checkbox"/>
7.4	Police incidents per 100 students	Absolute	1	> 5 <input type="checkbox"/>	5-4 <input type="checkbox"/>	2-3 <input type="checkbox"/>	< 3 <input type="checkbox"/>
			2	> 4 <input type="checkbox"/>	4-3 <input type="checkbox"/>	1-2 <input type="checkbox"/>	< 2 <input type="checkbox"/>
			3	> 3 <input type="checkbox"/>	3-2 <input type="checkbox"/>	1 <input type="checkbox"/>	< 1 <input type="checkbox"/>
			4	> 3 <input type="checkbox"/>	3-2 <input type="checkbox"/>	1 <input type="checkbox"/>	< 1 <input type="checkbox"/>
			5	> 3 <input type="checkbox"/>	3-2 <input type="checkbox"/>	1 <input type="checkbox"/>	< 1 <input type="checkbox"/>
7.5	Outside evaluators observe student demonstration of REACH values in classrooms and public spaces	Absolute	1	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			4	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>

<sup>38</sup> We will use the same reporting method as the Department of Education for suspensions, expulsions, and police incidents, such that suspensions include multiple occurrences for the same student. In our early grades, we anticipate a higher suspension rate due to higher behavioral expectations and strict discipline, in later grades our rate will fall below

**Goal 7) School Culture Accountability (cont.)**

<u>G7</u>	<u>Goal 7- Safe, Structured, &amp; Supportive</u>	<u>Type of Measure</u>	<u>Cohort Year</u>	<u>DP Does Not Meet Expectations</u>	<u>DP Approaches Expectations</u>	<u>DP Meets Expectations</u>	<u>DP Exceeds Expectations</u>
7.6	Families and students confidentially evaluate DP as meeting expectations for safety	Absolute	1	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			4	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
7.7	Families and students confidentially evaluate DP as meeting expectations for structure	Absolute	1	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			4	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
7.8	Families and students confidentially evaluate DP as meeting expectations for support	Absolute	1	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			4	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
7.9	Students able to define in writing the REACH values using specific examples from their own lives and school community	Absolute	1	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			2	< 60% <input type="checkbox"/>	61%-85% <input type="checkbox"/>	86%-95% <input type="checkbox"/>	> 95% <input type="checkbox"/>
			3	< 60% <input type="checkbox"/>	61%-85% <input type="checkbox"/>	86%-95% <input type="checkbox"/>	> 95% <input type="checkbox"/>
			4	< 60% <input type="checkbox"/>	61%-85% <input type="checkbox"/>	86%-95% <input type="checkbox"/>	> 95% <input type="checkbox"/>
			5	< 60% <input type="checkbox"/>	61%-85% <input type="checkbox"/>	86%-95% <input type="checkbox"/>	> 95% <input type="checkbox"/>
7.10	Families and students confidentially evaluate DP as meeting expectations for overall school culture	Absolute	1	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			2	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			3	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			4	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
			5	< 50% <input type="checkbox"/>	51%-65% <input type="checkbox"/>	66%-80% <input type="checkbox"/>	> 80% <input type="checkbox"/>
<b>TOTAL COHORT METRICS EVALUATED</b>			—				
<b>PERFORMANCE TOTAL IN EACH CATEGORY</b>				—	—	—	—
<b>PERFORMANCE POINTS IN EACH CATEGORY =</b>				— *0=	— *2=	— *3=	— *4=
<b>TOTAL PERFORMANCE POINTS</b>			—				
TOTAL PERFORMANCE POINTS/ COHORT METRICS EVALUATED			=	<b>REACH ACCOUNTABILITY</b>			



**III. Organizational Strength**

**Goal 8: Democracy Prep will demonstrate best practices for budgeting, accounting, auditing, and financial controls for all public and private resources.**

<b>G8</b>	<b>Goal 8- Financial Viability</b>	<b>Type of Measure</b>	<b>DP Does Not Meet Expectations</b>	<b>DP Approaches Expectations</b>	<b>DP Meets or Exceeds Expectations</b>
8.1	Budget Surplus	Absolute	> 10% deficit <input type="checkbox"/>	10-0% deficit <input type="checkbox"/>	Actual revenues exceed actual expenses <input type="checkbox"/>
8.2	Annual Independent Audit Completed on Time	Absolute	Not completed <input type="checkbox"/>	Audit completed, not on time <input type="checkbox"/>	On Time Audit and Report Submitted to Board <input type="checkbox"/>
8.3	Generally Accepted Accounting practices affirmed by audit	Absolute	Major irregularities <input type="checkbox"/>	Minor irregularities <input type="checkbox"/>	No irregularities <input type="checkbox"/>
8.4	Corrective action notes, if any, responded to in a timely fashion	Absolute	Notes not fixed <input type="checkbox"/>	Corrective action more than a month after report <input type="checkbox"/>	Corrective action, if any, taken within one month <input type="checkbox"/>
8.5	Positive fund balance	Absolute	Negative fund balance <input type="checkbox"/>	Positive fund balance <input type="checkbox"/>	Unrestricted net assets two percent or more than operating budget <input type="checkbox"/>
8.6	Head of School Contingency Fund	Absolute	No contingency fund <input type="checkbox"/>	0-1.9% contingency fund <input type="checkbox"/>	2% or greater contingency fund <input type="checkbox"/>
8.7	Core program operates on public funds	Absolute	10% or more comes from private sources <input type="checkbox"/>	0-10% comes from private sources <input type="checkbox"/>	No support for core program comes from private sources <input type="checkbox"/>
8.8	All board members meet give/get targets	Absolute	30% of Board misses targets <input type="checkbox"/>	0-30% miss targets <input type="checkbox"/>	Entire board meets personal give/get targets <input type="checkbox"/>
8.9	Head of School/COO presents 10 complete finance committee updates	Absolute	7 or fewer updates <input type="checkbox"/>	7-9 complete updates <input type="checkbox"/>	10 complete updates <input type="checkbox"/>
8.10	Actual retrospective budget is close to original proposed budget	Absolute	Greater than 10% difference <input type="checkbox"/>	5-10% difference <input type="checkbox"/>	0-5% difference between total budgets <input type="checkbox"/>
<b>TOTAL METRICS EVALUATED</b>		<b>10</b>			
<b>PERFORMANCE TOTAL IN EACH CATEGORY</b>			___	___	___
<b>PERFORMANCE POINTS IN EACH CATEGORY =</b>			___ *0= ___	___ *2= ___	___ *4= ___
<b>TOTAL PERFORMANCE POINTS</b>			___		
<b>TOTAL PERFORMANCE POINTS/10 = FINANCIAL ACCOUNTABILITY</b>					

**Goal 9: Democracy Prep will demonstrate best practices for administrative accountability and board, leadership, faculty, and staff satisfaction will be high.**

<b>G9</b>	<b>Goal 9- Administrative Viability</b>	<b>Type of Measure</b>	<b>DP Does Not Meet Expectations</b>	<b>DP Approaches Expectations</b>	<b>DP Meets or Exceeds Expectations</b>
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**OTHER ATTACHMENTS FORM**

**DPPS**

9.1	Head of School formal evaluation performed by governance committee	Absolute	Completed more than 2 months late <input type="checkbox"/>	Completed 0-2 months late <input type="checkbox"/>	Evaluation completed and reviewed by entire board by annual deadline <input type="checkbox"/>
9.2	Deans and Directors formally evaluated by Head of School	Absolute	Completed more than 2 months late <input type="checkbox"/>	Completed 0-2 months late <input type="checkbox"/>	Evaluation completed and reviewed by entire board by annual deadline <input type="checkbox"/>
9.3	All faculty members evaluated by Head of School and Deans	Absolute	Less than 66 % of evaluations on time <input type="checkbox"/>	66%-90% of faculty evaluations on time <input type="checkbox"/>	All evaluations completed and reviewed by HOS on time <input type="checkbox"/>
9.4	Average teaching experience of faculty members & Deans	Absolute	Less than two years <input type="checkbox"/>	Two-four years <input type="checkbox"/>	More than four years <input type="checkbox"/>
9.5	Average length of teaching at Democracy Prep (year 3 and after)	Absolute	Less than one year <input type="checkbox"/>	One-two years <input type="checkbox"/>	More than two years <input type="checkbox"/>
9.6	Faculty satisfaction with professional responsibilities and environment meets expectations	Absolute	60% or less <input type="checkbox"/>	60-80% <input type="checkbox"/>	More than 80% <input type="checkbox"/>
9.7	Leadership satisfaction with professional responsibilities and environment meets expectations	Absolute	60% or less <input type="checkbox"/>	60-80% <input type="checkbox"/>	More than 80% <input type="checkbox"/>
9.8	Board satisfaction with membership and responsibilities meets expectations	Absolute	60% or less <input type="checkbox"/>	60-80% <input type="checkbox"/>	More than 80% <input type="checkbox"/>
9.9	On time-attendance rate of staff	Absolute	90% or less <input type="checkbox"/>	90-95% <input type="checkbox"/>	More than 95% <input type="checkbox"/>
9.10	Annual Report submitted and disseminated on time	Absolute	Two months or more late <input type="checkbox"/>	0-2 months late <input type="checkbox"/>	Submitted & disseminated on time <input type="checkbox"/>
<b>TOTAL METRICS EVALUATED</b>		<b>10</b>			
<b>PERFORMANCE TOTAL IN EACH CATEGORY</b>			___	___	___
<b>PERFORMANCE POINTS IN EACH CATEGORY =</b>			___ *0= ___	___ *2= ___	___ *4= ___
<b>TOTAL PERFORMANCE POINTS</b>		___			
TOTAL PERFORMANCE POINTS/10 =		<b>ADMINISTRATIVE ACCOUNTABILITY</b>			

**Goal 10: Democracy Prep will demonstrate public viability and accountability through demand, support for, and satisfaction with the overall academic program.**

<b>G10</b>	<b>Goal 10- Public Viability</b>	<b>Type of Measure</b>	<b>DP Does Not Meet Expectations</b>	<b>DP Approaches Expectations</b>	<b>DP Meets or Exceeds Expectations</b>
10.1	Family overall satisfaction with DP meets expectations	Absolute	60% or less <input type="checkbox"/>	60-80% <input type="checkbox"/>	More than 80% <input type="checkbox"/>
10.2	Student overall satisfaction with DP meets expectations	Absolute	60% or less <input type="checkbox"/>	60-80% <input type="checkbox"/>	More than 80% <input type="checkbox"/>
10.3	Community Partner overall satisfaction with DP meets expectations	Absolute	60% or less <input type="checkbox"/>	60-80% <input type="checkbox"/>	More than 80% <input type="checkbox"/>
10.4	Visitor overall satisfaction with DP meets expectations	Absolute	60% or less <input type="checkbox"/>	60-80% <input type="checkbox"/>	More than 80% <input type="checkbox"/>
10.5	Percent of students returning from June to the following	Absolute	85% or less <input type="checkbox"/>	85-95% <input type="checkbox"/>	95% or more <input type="checkbox"/>

OTHER ATTACHMENTS FORM

DPPS

	<b>October</b>				
10.6	<b>October 1<sup>st</sup> Enrollment levels compared to projected seats available</b>	Absolute	90% or less <input type="checkbox"/>	90-97% <input type="checkbox"/>	<b>97% or more <input type="checkbox"/></b>
10.7	<b>Waiting list size</b>	Absolute	5% or less of available seats <input type="checkbox"/>	5-25% of available seats <input type="checkbox"/>	<b>25% or more of available seats <input type="checkbox"/></b>
10.8	<b>Negative attrition (expulsion, dissatisfaction with school, voluntary school transfer within traditional NYC system)</b>	Absolute	5% or more <input type="checkbox"/>	3-5% <input type="checkbox"/>	<b>0-3% <input type="checkbox"/></b>
10.9	<b>Family participation in at least one school activity per trimester</b>	Absolute	60% or less <input type="checkbox"/>	60-80% <input type="checkbox"/>	<b>80% or more <input type="checkbox"/></b>
10.10	<b>Visitor survey completion</b>	Absolute	Less than 1 per school day average <input type="checkbox"/>	1-2 per school day average <input type="checkbox"/>	<b>2 or more per school day average <input type="checkbox"/></b>
<b>TOTAL METRICS EVALUATED</b>		<b>10</b>			
<b>PERFORMANCE TOTAL IN EACH CATEGORY</b>			___	___	___
<b>PERFORMANCE POINTS IN EACH CATEGORY =</b>			___ *0= ___	___ *2= ___	___ *4= ___
<b>TOTAL PERFORMANCE POINTS</b>		___			

TOTAL PERFORMANCE POINTS/10 = **PUBLIC ACCOUNTABILITY**



## **H. Sample Management Agreement**

The management agreement between replicated and expanded schools will closely mirror the management agreement included below, executed between Democracy Prep Harlem Middle School's board of trustees and the City of New York Public Schools.

### **MANAGEMENT AGREEMENT**

This Management Agreement, dated as of July 1, 2010 but executed June \_\_, 2011, is entered into between Democracy Builders, a New York not-for-profit corporation (the "CMO") and Democracy Prep Harlem Middle School, an independent public school established under the New York Charter Schools Act (the "Charter School").

### **RECITALS**

WHEREAS, the Charter School is authorized by the New York State Board of Regents and the City of New York City Chancellor to operate a charter school in the City of New York;

WHEREAS, after the date hereof the CMO intends to change its name from "Democracy Builders" to "Democracy Prep Public Schools";

WHEREAS, the CMO is in the business of offering educational management and support services to charter schools by using proprietary techniques, methods and management expertise; and

WHEREAS, the Charter School desires that the CMO undertake responsibility for the management and operation of the Charter School as set forth herein, subject to the supervision of the Board of Trustees of the Charter School (the "Board"), with the goal of enabling the Charter School to fulfill its mission of providing an education for students for success in college and citizenship.

NOW, THEREFORE, in consideration of the foregoing, the mutual promises herein contain good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties hereto, agree as follows:

1. General Requirements. For and during the term of this Agreement, the CMO shall manage the Charter School consistent with the charter of the Charter School, and in accordance with applicable federal laws, on the terms and conditions hereinafter set forth.

- a) Role of the CMO. The CMO is committed to ensuring that students of the Charter School receive a complete educational program based on the requirements of the Charter School's charter public schools law of the jurisdiction where the Charter School is organized. The CMO is to assume responsibility for the Charter School's educational process, the management and operation of the Charter School, all under the supervision and authority of the Board and as more fully set forth in Section 2. The CMO will devote its time and efforts, and will retain and allocate sufficient personnel, to meet the educational needs of the Charter School.

- b) Role of the Charter School. The role of the Charter School, acting through its Board and the school leader, is (i) to oversee and monitor CMO's management of the operations and educational process at the Charter School, in accordance with the Charter School's charter and this Agreement, (ii) to promulgate policies in furtherance thereof, and (iii) to assume responsibility for the Reserved Functions (as defined below), all as more fully set forth in Section 3.

2. Functions of the CMO.

- a) Advocacy. The CMO will provide policy and political advocacy and engagement with the community and its leaders, subject to all limitations imposed by law on all entities exempt from federal income tax under section 501(c)(3) of the Internal Revenue Code of 1986, as amended from time to time, on behalf of the Charter School.
- b) Compliance. The CMO will provide support and coordination of the Charter School's charter application and all future applications under the Charter School Act, including renewal of the Charter School's charter. The CMO will inspect the Charter School from time to time, but at least annually, using formal and informal inspections, announced and unannounced as appropriate, and will arrange for third-party evaluation and feedback as it deems appropriate regarding (i) the instructional program of the Charter School and (ii) the CMO's impact on student achievement towards the Charter School's goals as stated in its charter, all as may be necessary in order to ensure progress towards the Charter School's goals and compliance with all regulatory requirements. The CMO shall report to the Board at each meeting of the Board, and as requested by the Board, as to the effectiveness of its instructional programs, progress of its students and compliance with regulatory requirements. The CMO shall assist the Board in complying at all times with applicable legal requirements and requirements of the Charter School's authorizers and all such conditions as may have been imposed by the authorizer granting its charter. Without limiting the generality of the foregoing, the CMO, with support from the Charter School, will help prepare reports and documentation required by the Charter School's authorizers in a timely and thorough manner, including schools' accountability plans and annual reports. The CMO shall also help provide required foundation and government reports as needed. The CMO shall advise and assist the Board in establishing and maintaining the Charter School's status as a tax-exempt organization under federal and, if applicable, state law, such that contributions to the Charter School are tax deductible to the donor for federal income tax purposes. References to "authorizers" herein shall mean the Chancellor of New York City Public Schools, the New York State Department of Education or similar supervisory or regulatory bodies in other jurisdictions.
- c) Curricular Systems. The CMO, with the cooperation of the Charter School and its faculty, will provide and support the Charter School with comprehensive program design, including curriculum development and implementation, curriculum scope and sequence, instructional oversight, common standards, the development, administration and analysis of diagnostic assessments, and the oversight, measurement, and management of comprehensive school quality.
- d) Data and Technology. The CMO will provide support for the identification, procurement, installation and operation of technology systems for the Charter School. The CMO will assist with the purchase and procurement of information technology equipment and services, including student information systems and computer and information technology support for the Charter School, it being understood that the actual purchases will be for the account and at the expense of the Charter School. The CMO will also provide support for data collection and analysis as required to meet regulatory requirements and program monitoring.

- e) Fund Development. As part of overall program evaluation and budgeting, the Board will, in consultation with the CMO, set specific targets for fund development at the beginning of each fiscal year, and the CMO will then design and implement programs to meet those targets. The CMO will work to secure and provide philanthropic commitments to support school start up and school scale up, including planning and running of events. Additionally, the CMO will work to secure and provide program grants and other project-based resources for the Charter School.
- f) External Relations. The CMO will provide the Charter School with support regarding all press inquiries, marketing materials, web marketing, branding and all other external relations, including corporate and institutional partnerships, community engagement and civic initiatives, which support will include acting as or providing spokesman for the Charter School before the media. No member of the staff of the Charter School shall communicate directly with the press, be it on or off the record, without CMO authorization which shall not be unreasonably withheld or delayed; it being understood that this restriction does not apply to any member of the Board. It is understood and agreed that the CMO will request all staff and all parents of students to sign a media release form annually adhering to this expectation; those who do not sign the agreement will not have their or their child's images or information used in media releases. The CMO shall be designated as the agent of the Charter School for purposes of compliance with FERPA (the Family Educational Rights and Privacy Act), so as to have access to student information..
- g) Finance. In addition to assistance with budgeting, the CMO will help establish accounting policies and procedures, manage accounts payable and accounts receivable and program analysis.
- i. Annual Budget. The CMO will propose and assist in the implementation of an annual budget for the Charter School's operations. Not less than sixty (60) days prior to the beginning of each fiscal year, the CMO shall prepare and submit to the Board for its review a proposed annual budget for such fiscal year. Not more than thirty (30) days after its receipt of the proposed annual budget, the Board shall notify the CMO in writing of any proposed amendments or revisions to the proposed budget. If no proposed amendments or revisions are received within such thirty (30) day period, the budget proposed by the CMO shall be deemed approved by the Charter School, subject to any necessary ratification at the next duly constituted meeting of the Board. If the Board proposes amendments or revisions to the proposed budget, the CMO shall either incorporate such proposed amendments or revisions or shall discuss with the Board or its designee any amendments or revisions proposed that the CMO does not consider it appropriate to incorporate. The CMO and the Board or its designee shall endeavor to come to agreement on the resolution of any such proposed amendments or revisions prior to offering a final budget to the Board for its approval, *provided* that in the absence of agreement the determination of the Board as to the amount and terms of the budget shall be binding and final.
- ii. Contingency Budget. If the CMO reasonably determines that a previously approved budget will be deficient for any reason, the CMO will give notice to the Board within ten (10) days and prepare a contingency budget to be submitted to the Board within thirty (30) days of such notice. The procedure for review, modification, reconciliation and adoption of any contingency budget shall be the same as for the annual budget, *provided* that the Board and the CMO shall endeavor to complete such process within twenty (20) days after the Board has received such a contingency budget. In the absence of agreement between the CMO and Charter School, the determination of the Board as to the amount and terms of any contingency budget shall be binding and final.

- iii. Budget Objection. In the event the Board adopts an annual or contingency budget over the objections of the CMO, the CMO will give the Board written notice of such objections (an “Objection Notice”) within thirty (30) days of the Board adopting such budget. Each Objection Notice will state in reasonable detail the basis of the CMO’s objections to such budget, including to what extent the CMO believes the Charter School’s performance will be adversely impacted by specified budgetary restrictions. The CMO will, notwithstanding such objections, endeavor to carry out its responsibilities and to modify, to the extent required due to constraints in such budget, programs and operations to conform to that budget while at the same time seeking to maintain the integrity of the academic program and the mission of the Charter School; it being understood that the CMO can provide no assurances that academic and operational performance will not be adversely impacted by the budgetary restrictions and the resulting modifications to school programs. In the event any modification of programs or operations would be inconsistent with the Charter, the Board with the assistance of the CMO will seek from the Charter School’s authorizers any necessary revisions to the Charter and, to the extent possible, will not implement any such modifications prior to approval of such Charter revisions.
- iv. Accounting Support. The CMO will assist the Charter School in establishing accounting policies and procedures. The CMO shall have responsibility for managing the Charter School’s accounts payable and accounts receivable and in program analysis at the school level; provided, however, that the Charter School will provide one part-time employee to assist the CMO with the administration of the Charter School’s accounts payable and accounts receivable.
- v. Fiscal Year. References to “fiscal year” in this Agreement mean the annual period beginning July 1 and ending June 30.
- h) School Leader Recruitment. The school leader shall be an employee of the Charter School, and the selection and retention of the school leader shall be at the discretion of the Board. The CMO shall assist the Board in defining the qualifications of the school leader and in identifying, selecting and recruiting appropriate candidates. The CMO reserves the right to recommend to the Board that the school leader be replaced if the school leader’s actions or leadership adversely affects the ability of the CMO to deliver its services and achieve its objectives and those of the Charter School. If the CMO determines that the school leader should be replaced, the CMO will notify the Board by written notice, including the reason for the decision, along with a proposed interim plan (containing an interim operating structure and criteria for a replacement school leader) and a recruitment strategy for a new leader. Once the Charter School is in receipt of this notice, the Board will convene to determine the merits of the CMO’s reasoning. The Charter School shall either agree to remove the leader, or in the event of a disagreement which ultimately cannot be resolved after good faith negotiation between the parties, allow the CMO to give written notice of its intent to terminate this Agreement pursuant to Section 7(e)(ii). If the Charter School agrees to remove the leader, the CMO will be responsible for implementing the CMO’s interim plan and recruitment strategy to fill the vacant leader position, with such modifications as the Board may require, as soon as reasonably practicable. References to “school leader” or “leader” herein shall mean the individual responsible for the day-to-day activities and operations of the Charter School, which individual may (but need not) be a principal, head of school, director or person holding a similar position.

- i) Human Capital. The CMO will provide support and assistance to the school leader with respect to the Charter School's recruitment efforts and design and implementation of effective processes to ensure selection and retention of high quality teaching and administrative staff by the Charter School. The CMO will provide support for recruitment and initial vetting of prospective staff, including network-wide advertising and affiliations, first interviews, scheduling of demonstration lessons, and background/reference checks. Upon completion of the initial vetting process, the school leader will be responsible for arranging any follow up interview requirements and will have final authority to hire teachers and administrators who shall report directly to the school leader or his or her designee. However, the CMO will assist with onboarding and termination (including conducting exit interviews of each department instructional staff member), HR compliance, and compensation and benefits administration. The CMO will also assist the Charter School by maintaining a full list of employees of the Charter School, showing work location, position(s) held, start and termination dates for their employment and salaries.
- j) Professional Development. The CMO will provide network-wide professional development and training sessions, both formal and informal, as needed to meet the goals of the program and student outcomes. Development and training programs will include best practice sharing, leadership training, special education support and development/maintenance of performance evaluation systems.
- k) Operations. The CMO will provide support and consultation on payroll services, bulk purchasing, auditing coordination, benefit purchasing and administration, facilities acquisition (including in dealing with the Department of Education, other governmental entities and private landlords in securing and/or extending the Charter School's siting in Department of Education or such other facilities), and all human resources policies and procedures for the Charter School, following approval of those policies by the Board at a duly constituted meeting of the Board. The CMO will also assist Charter School staff in areas of compliance and management, such as personnel files, purchasing systems, facilities maintenance plans and school safety plans.

The list of services and support functions provided by the CMO in Section 2 may be changed at any time during the course of this Agreement upon written consent of both parties. Without the prior written consent of the Charter School, the CMO may not provide any services or support functions pursuant to this Agreement through a contractor or other third party.

Notwithstanding any contrary provision herein, (i) all services and support functions provided by the CMO pursuant to this Agreement will be subject to the overall supervision of the Board and (ii) the CMO will consult with and report to the Board on all aspects of its services and support functions and will adhere to the expressed needs and requirements of the Board.

3. Rights and Obligations of the Charter School; Reserved Functions. The Board shall be ultimately responsible for the Charter School, in accordance with its charter and all applicable laws and regulations. In connection therewith, the Board shall have the right and the obligation to perform or cause the Charter School to perform the following duties (the "Reserved Functions"):

- a) Supervision of the CMO. The Board shall monitor the CMO's performance in the education of children at the Charter School, and the CMO's compliance with the terms and provisions of this Agreement.

- b) Promulgation of Charter School Policies. The Board shall have ultimate approval authority over board-level policies of the Charter School, in accordance with its charter and applicable law.
- c) Maintenance of Charter. The Board shall do, or cause to be done, all things necessary to ensure that all legal requirements, and all such conditions as may have been imposed by the authority granting its charter, are fully complied with at all times. If the Charter School or the CMO shall at any time receive notice from any public authority or other person that the Charter School is or may be in violation of the charter, or any provision of any applicable law or regulation, the party receiving such notice shall in writing notify the other party of the asserted violation and shall thereafter work diligently with the other party to determine whether such asserted violation in fact exists, to correct any violation found to exist, and vigorously contest the asserted violation if the same is found not to exist.
- d) Tax Status. The Board shall take all reasonable steps to establish and maintain the Charter School's status as a tax-exempt organization under federal and, if applicable, state law, such that contributions to the Charter School are tax deductible to the donor for federal income tax purposes.
- e) Control of Funds; Payment of Expenses. Pending their disbursement, all funds of the Charter School shall be maintained in an account or accounts belonging to the Charter School. The Board shall establish appropriate financial controls over its accounts and may, in its discretion and in accordance with sound financial management, provide limited disbursement authority, to one or more of its accounts, to one or more CMO employees for ongoing budgeted expenses.
- f) Employment of Supervisory Personnel. The Charter School shall employ the school leader and the office manager of the school.
- g) Employment of Teaching Staff. The Charter School shall employ all teaching staff of the school, including both teachers and teaching assistants. As between the CMO and the Charter School, responsibility for supervision of the teaching staff will lie exclusively with the school leader.
- h) Student Records. The Charter School shall be responsible for maintenance and custody of student records, with support from the CMO in the design and administration of the record maintenance system.
- i) Facility Maintenance. The Charter School shall be responsible for all custodial and maintenance services for the Charter School's facilities, to the extent not provided by the Department of Education or other governmental body.

Nothing in this Agreement is intended to impair or be inconsistent with the obligations of the Trustees under the New York Open Meetings Law (New York Public Officers Law, Article 7, §§100 et seq.), to the extent applicable. All determinations of the Board, including the adoption of budgets and policies, which are required to be taken in open meetings upon notice to the public in accordance with the applicable requirements of the Open Meetings Law will be taken in compliance with that law, irrespective of any prior agreements having been made or deemed to have been made between the Charter School and the CMO.

4. Representations; Warranties and Covenants. Each of the parties represents, warrants and covenants to the other party as follows:

- a) Organization. It is a section 501(c)(3) non-profit corporation duly organized, validly existing, and in good standing under the laws of its respective jurisdiction of organization;
- b) Authority. Subject to Section 4(d), it has all the requisite power and authority necessary to execute and deliver this Agreement and to perform its respective obligations hereunder;
- c) Compliance. It agrees to conduct its business in compliance with all applicable local, state, federal laws and regulations, and this Agreement;
- d) Regulatory Approval. It agrees to submit this Agreement, individually or jointly with the other party, for approval to all authorizers required in connection with the Charter School's charter renewal application. If any amendments are required by the authorizers for final approval of this Agreement, the parties shall work together in good faith to effectuate such amendments. In the event of a disagreement that cannot be resolved between the Charter School and CMO after good faith negotiation, or if the authorizers fail to approve this Agreement, this Agreement will terminate automatically as if it was terminated pursuant to Section 7(c); and
- e) Evaluation Criteria. The performance of the CMO in providing services and support functions to the Charter School pursuant to this Agreement will be evaluated by the Board or its designee(s) on an annual basis using evaluation criteria reasonably determined by the Charter School. The CMO will, and will procure that its officers and employees, fully cooperate with and facilitate such evaluation, and work with the Board or its designee(s) in good faith to try to resolve or improve any areas in which the Board or its designee(s) believes the CMO's performance could be improved. The parties acknowledge that the primary purpose of this evaluation is designed to maximize the Charter School's performance within any budgetary constraints.

4A. Additional Representation of the CMO. The CMO represents to the Charter School that it currently provides charter school management services to the following charter schools:

- Harlem Prep Charter School (Harlem, NY)
- Democracy Prep Charter School (Harlem, NY)
- Democracy Prep III Charter School (Harlem, NY)

5. Trademarks; School Materials; Ownership and Use; New Intellectual Property.

- a) Trademarks. During the term of this Agreement, the CMO grants to the Charter School a non-exclusive license to use the trademarks, service marks, slogans and logos set forth on Schedule A to this Agreement, together with such other trademarks, service marks, slogans and logos as the CMO may in its sole discretion authorize, in writing, the Charter School to use (such trademarks, service marks, slogans and logos, collectively, the "Licensed Trademarks") in connection with the School Services (the "Licensed Services"), including use on school-related clothing and materials. For the purposes of this Agreement, "School Services" means: educational and related services, namely, providing classroom instruction to students and operating a public charter school.
- b) School Materials. During the term of this Agreement, the CMO grants to the Charter School a non-exclusive license to use the curriculum materials, including, scope, sequence, standards, do-nows, worksheets, exit tickets, exams, assessments, progress reports and other materials that are part of its curriculum set forth on Schedule B to this Agreement (collectively, the "Licensed Curriculum Materials") in connection with the School Services.

- c) Quality Control.
- i. To protect and preserve the strength of the Licensed Trademarks, the associated goodwill, the nature and quality of the Licensed Services provided by the Charter School under the Licensed Trademarks, and all related advertising, promotional, and other related uses of the Licensed Trademarks by the Charter School, the Charter Schools' use of the Licensed Trademarks shall conform to the standards of quality maintained by other charter schools operating under the "Democracy Prep" name and utilizing the Licensed Trademarks. Without limiting the foregoing, the Charter School shall use the Licensed Trademarks only in the form and manner and with appropriate legends as prescribed from time to time by the CMO and will not use any other trademark or service mark in combination with the Licensed Trademarks without prior written approval of the CMO. So that the CMO may monitor the nature and quality of the Licensed Services and the Charter School's use of the Licensed Trademarks, the Charter School shall, upon request: (A) permit the CMO to reasonably inspect the Charter School's operations relating to the Licensed Services; and (B) supply the CMO with specimens of all uses of the Licensed Trademarks in connection with the Licensed Services.
  - ii. The Charter School shall use the Licensed Curriculum Materials in connection with curricular systems and educational programs provided and supported by the CMO that shall equal or exceed the standard of quality of those utilized by other charter schools operating under the "Democracy Prep" name and utilizing the Licensed Trademarks.
  - iii. The CMO shall assist the Charter School, if necessary and as reasonably requested, in maintaining the quality standards set out in clauses i and ii above.
- d) Intellectual Property Ownership. The Charter School acknowledges that it will not obtain any ownership interest in the Licensed Trademarks or Licensed Curriculum Materials, regardless of how long this Agreement remains in effect and regardless of any reason or lack of reason for the termination thereof. The Charter School shall not knowingly dilute or disparage the Licensed Trademarks. The Charter School agrees that any and all goodwill associated with the use by the Charter School of the Licensed Trademarks shall inure to the sole benefit of the CMO. The Charter School further agrees that any and all intellectual property rights in any improvements or modifications to the Licensed Curriculum Materials or in any new curriculum materials and related materials or content created, or provided to the Charter School, by or on behalf of the CMO during the term of this Agreement (collectively, "New Curriculum Materials") will also be owned by the CMO, but the CMO hereby grants to the Charter School a non-exclusive license to use the New Curriculum Materials in connection with the School Services during the term of this Agreement. Any and all intellectual property rights in any improvements or modifications to the Licensed Curriculum Materials or New Curriculum Materials or in any new curriculum materials and related materials or content created by the Charter School (including, as between the CMO and the Charter School, the teaching staff, supervisory and other personnel employed by the Charter School) during the term of this Agreement (collectively, "Charter School Intellectual Property") will be owned by the Charter School, but the Charter School hereby grants to the CMO a non-exclusive, perpetual, royalty-free license to use the Charter School Intellectual Property in connection with School Services provided by the CMO, whether during or after the term of this Agreement.
- e) Use of Intellectual Property Following Termination. Upon the expiration or earlier termination of this Agreement, the Charter School shall cease any further use of the Licensed Trademarks, Licensed Curriculum Materials and New Curriculum Materials. Notwithstanding the foregoing, should the Charter School be unable, despite diligent efforts on its part, to obtain and substitute other curriculum

materials to replace some or all of the Licensed Curriculum Materials or New Curriculum Materials in sufficient time for the next school term, then the Charter School may continue to use those portions of the Licensed Curriculum Materials and New Curriculum Materials which it was unable to replace for a maximum of one school year following expiration or termination of this Agreement, *it being understood* that (i) the CMO shall provide no updates or other support for such materials, (ii) the Charter School shall, to the extent practical, remove any Licensed Trademarks or other marks identifying such materials as part of the “Democracy Prep” curricular program, and (iii) the Charter School shall cease use of such materials as soon as practical but in no event later than the end of the school year immediately following expiration or termination of this Agreement.

## 6. Management Fee.

- a) Management Fee. As compensation for its services hereunder, the CMO shall be entitled to receive a management fee (the “Management Fee”) from the Charter School in an amount equal to 15% of the Non-Competitive Public Revenue of the Charter School in the Initial Term (as defined below), which percentage will decrease by one-half percent (0.5%) in each Renewal Term (as defined below) until it reaches a minimum of 12% of the Non-Competitive Public Revenue of the Charter School, which percentage will remain in effect for all subsequent Renewal Terms. The Management Fee shall be paid to the CMO as and when the corresponding funds are actually received by the Charter School, within thirty (30) days following its receipt thereof. For the purposes of this Agreement, “Non-Competitive Public Revenue” means revenue derived from federal and state funds provided for a charter school, on a per pupil, titled funding, and special education funding basis, including Start-up Grants, State Per Pupil Funding, New York State Excess Cost Funding, New York State High Cost Funding, Federal Title funding, Federal Individuals with Disabilities Education Act funding and Federal and State American Recovery and Reinvestment Act Funding, provided that doing so would not violate the contract terms of that grant.

If the Charter School is unable to pay any portion of the Management Fee when it is due (*i.e.* within 30 days following receipt of funds by the Charter School), it will contact the CMO in writing and attempt to work out an arrangement with the CMO. If by the 60th day after such payment is due a material portion thereof remains unpaid and no such arrangement has been made, the CMO will have the right to terminate this Agreement under its right in Section 7(e)(i).

- b) Management Fee Adjustment. Notwithstanding the provisions of Section 6(a), in the event that the Charter School does not in any fiscal year receive Available Philanthropic Contributions in an amount at least equal to the amount of Philanthropic Contributions anticipated in that fiscal year’s budget, the Management Fee will be reduced by an amount equal to 50% of the shortfall, subject to any adjustment to such reduction as the CMO and the Board may consider equitable due to special circumstances. The reduction in Management Fee will be made immediately following receipt by the Board of the audited financial statements for the fiscal year of the shortfall, through repayment of the excess Management Fee or reduction of the Management Fee installments first due in the following fiscal year, as agreed between the CMO and the Board.

If the Management Fee for any fiscal year is reduced and in any of the next three fiscal years Available Philanthropic Contributions received exceed the budgeted amount of Philanthropic Contributions, the Management Fee will be increased by 50% of the excess, up to the amount of the unrecovered prior reduction. Any increase in the Management Fee will be paid to the CMO within thirty (30) days following receipt by the Board of the audited financial statements for the year in which the excess appears.

As used herein, the term “Philanthropic Contributions” means grants from charitable foundations and contributions from private sources, including without limitation individuals; and “Available Philanthropic Contributions” means Philanthropic Contributions which are received in cash and are unrestricted or the restrictions on which do not prevent their current expenditure.

c) Financial Reporting/Audits.

- i. Within 30 days after the close of each fiscal quarter, the CMO shall provide the Charter School with unaudited financial statement of the Charter School for the fiscal quarter most recently ended. The CMO shall also cooperate with the auditors retained by the Board to prepare annual audited financial statements of the Charter School, so as to allow for the delivery of such audited statements within 90 days after the close of each fiscal year. The CMO and the Charter School will each submit annual audited financial statements to account for the Management Fee and annual revenues, as an addendum to the school operating budget each year. The Charter School and the CMO will reconcile any amount of the Management Fee owed based on the audited revenue of the Charter School for each fiscal year. The Charter School will be responsible for selecting its own independent auditor and shall cover all costs and expenses related to such audit.
- ii. The CMO will furnish the Board with written notice promptly (but in any event within seven (7) business days) after the discovery or receipt of notice of (A) any default under any material contract to which the Charter School is a party, which default would, individually or in the aggregate, reasonably be expected to have a material adverse effect on the Charter School, or (B) any other event which would, individually or in the aggregate, reasonably be expected have a material adverse effect on the Charter School (including the filing of any actions, suits, notices, hearings, proceedings, investigations, inquiries or audits (“Litigation”) against the Charter School or the CMO or the existence of any dispute with any person which involves a reasonable likelihood of such Litigation being commenced), in each case, as determined in good faith by the CMO’s board of directors, such notice will specify the nature and period of existence thereof and what actions the CMO and/or Charter School has taken and propose to take with respect thereto, if any.
- iii. The CMO will furnish the Board with such other information and financial data concerning the Charter School as the Board may request from time to time.

- d) Access to Records. The CMO shall afford the Charter School and its employees, counsel and other authorized representatives full access, during normal business hours (and, if the assistance of CMO staff is required, upon reasonable advance notice), to all of the Charter School’s books, records and properties (including all work papers of the CMO’s or Charter School’s accountants directly related to the Charter School’s budget and finances) for any and all lawful purposes.

7. Term & Termination.

- a) Initial Term. This Agreement shall be effective for one year, beginning July 1, 2010 and ending June 30, 2011 (the “Initial Term”), unless terminated pursuant to Section 7(c), 7(d) or 7(e).
- b) Renewal Terms. Following the Initial Term, the term of this Agreement will automatically extend for successive one-year periods (each a “Renewal Term”), unless either party gives notice, at least 90 days prior to the expiration of the then-current Initial Term or Renewal Term, of its intention not to renew this Agreement, in which case this Agreement will automatically expire at the end of

the then-current term; *provided*, that no automatic renewal will be effective unless it has been approved by the Board at a duly constituted meeting.

- c) Mutual Termination. This Agreement may be terminated at any time prior to its expiration date by the parties, with or without cause, upon mutual written consent.
- d) Termination by the Charter School. This Agreement may be terminated prior to its expiration date by the Charter School if the Charter School delivers a written notice of termination (including the reasons therefor) to the CMO, in the event that (i) the CMO commences any case or proceeding, or files any petition in bankruptcy, or for reorganization, liquidation or dissolution, or has been adjudicated insolvent or bankrupt, or applies to any tribunal for a receiver, intervener, conservator or trustee for itself or for any substantial part of its property, (ii) an administrative or judicial body has suspended or revoked any license which may be required for the CMO to carry on its business and perform its obligations under this Agreement, (iii) the CMO violates any material provision of law with respect to the Charter School from which the Charter School was not specifically exempted and which results in material adverse consequences to it, (iv) the CMO is found by a court of competent jurisdiction to have made fraudulent use of Charter School funds, (v) the CMO breaches any of the material terms and conditions of this Agreement, *provided* the CMO has not cured the breach within thirty (30) days from receipt of a notice of breach from the Charter School or (vi) a management or operational agreement between the CMO and another charter school is validly terminated by that charter school for cause (rather than through non-renewal upon expiration of its term or a mutual termination between the parties) and the Board reasonably determines that, as a result of the conduct or events resulting in such termination, the Charter School's continued association with the CMO would have a material adverse effect on the ability of the Charter School to fulfill its mission. In the case of a termination pursuant to clause (iii) or (v), the notice of termination shall be delivered at least 60 days prior to the date of termination. This Agreement may also be terminated by the Charter School upon 30 days prior written notice to the CMO in the event that Seth Andrew ceases, for any reason, to be actively involved in the direction and administration of the CMO's management of the Charter School's educational process and operations unless, within sixty (60) days following the date he ceases to be actively involved, a replacement satisfactory to the Charter School has assumed Mr. Andrew's responsibilities at the CMO.
- e) Termination by the CMO. This Agreement may be terminated prior to its expiration date by the CMO if the CMO delivers a written notice of termination (including the reasons therefor) to the Charter School, at least 90 days prior to the intended Termination Date, in the event that (i) a material portion of a Management Fee installment remains unpaid for 60 days after such payment is due without an arrangement having been made with the CMO, as contemplated in the second paragraph of Section 6(a), (ii) the CMO invokes its right to terminate this Agreement upon the occurrence of a disagreement with the Charter School over the removal of the school leader, as contemplated under Section 2(h), (iii) the Charter School materially breaches any of the material terms and conditions of this Agreement, *provided* the Charter School has not cured the breach within thirty (30) days from receipt of a notice of breach from the CMO, (iv) the Charter School's charter is revoked or not renewed, or (v) the Charter School takes any action which materially interferes with the ability of the CMO to provide services under this Agreement, *provided* that in the case of each of clause (i) through to (v) the Charter School has not cured the problem within thirty (30) days from receipt of a notice from the CMO. The Charter School will have thirty (30) days from receipt of the notice to cure the breach of any of these events and avoid termination of

this Agreement. Any termination by the CMO pursuant to this Section 7(e) shall be effective as of the end of the then-current school year, *provided* that the CMO and the Charter School shall endeavor to establish a transition plan for withdrawal of the CMO and its replacement by another management company or internal Charter School personnel, as determined by the Charter School, within a shorter period of time to the extent practicable and in the best interests of the Charter School's students.

- f) Effect of Termination. Upon termination of this Agreement, whether with or without cause, the CMO shall be entitled to a prorated Management Fee for the portion of the fiscal year up to the date of termination, computed based upon the number of days in the fiscal year up to the date of termination divided by the total number of days in the fiscal year. To the extent the CMO has received payments of the Management Fee in excess of the amount so due to it (including as a result of any adjustment pursuant to Section 6(b)(i) following completion of an audit), it shall promptly refund the excess to the Charter School. To the extent the CMO has received less than the amount so due (including as a result of any adjustment pursuant to Section 6(b)(i) following completion of an audit), the Charter School shall pay the shortfall to the CMO out of revenues as and when received by it. If this Agreement is terminated as permitted, then except as otherwise provided in this Section 7(f), such termination shall be without liability to any party or to any affiliate, shareholder, trustee, director, officer or representative of such party, and following such termination no party shall have any liability under this Agreement or relating to the transactions contemplated by this Agreement; *provided* that no such termination shall relieve any party from liability in respect of breaches by such party prior to such termination.
- g) Assistance with Dissolution and Closure. In the event the Charter School's charter is revoked or not renewed, then, notwithstanding that the CMO may invoke its right under Section 7(b) to terminate this Agreement, the CMO shall assist the Charter School in its winding-up and dissolution and in the execution of a closure plan for the Charter School, which assistance shall include, without limitation, making available and assisting in the transfer of student and teacher records.

## 8. Indemnification; Insurance.

- a) The CMO shall indemnify and hold harmless the Charter School, its trustees, directors, officers, agents, servants, and employees (each, an "Indemnitee"), from and against any and all damages, claims, liability, losses and expenses incurred by any Indemnitee in respect of, arising out of, or involving, a claim made by any third-party against any Indemnitee resulting from or arising in connection with any advice, guidance, act or omission on the part of the CMO, its trustees, directors, officers, directors, agents, servants or employees, whether in connection with the services or support functions to be provided under this Agreement or activities undertaken by the CMO on behalf of other charter schools, *excluding, however,* any liability resulting from or arising in connection with (i) actions taken by the CMO at the express request or direction of the Board, (ii) any actions taken by the Charter School other than with the guidance, direction or advice of the CMO or (iii) any liability to the extent arising as a result of negligence, intentional tort, fraud or criminal conduct on the part of the Charter School or any of its trustees, officers, agents, or employees.
- b) If a third party claim is made against an Indemnitee, and if such Indemnitee reasonably believes that such claim would give rise to a right of indemnification pursuant to this Section 8, then such Indemnitee shall give written notice to the CMO of such claim as soon as reasonably practicable after such Indemnitee has received notice thereof (provided that failure to give timely notice shall not limit the

indemnification obligations of the CMO hereunder except to the extent that the delay in giving, or failure to give, such notice has materially prejudiced the ability of the CMO to defend the claim). The CMO shall defend such claim, at the CMO's own expense and with counsel selected by the CMO and reasonably satisfactory to such Indemnitee, provided that an Indemnitee shall at all times also have the right to fully participate in the defense at its own expense (and may retain its own counsel at the expense of the CMO if it shall reasonably determine that representation of it and the CMO by the same counsel would materially prejudice the interest of such Indemnitee; provided that the CMO will only be responsible under such circumstances for the expenses of a single additional counsel for all Indemnitees). If the CMO shall fail to commence a defense against such claim within 30 days after notice thereof shall have been given by an Indemnitee to the CMO or if the CMO shall not diligently pursue such defense, such Indemnitee shall have the right, but not the obligation, to undertake the defense of, and to compromise or settle (exercising reasonable business judgment), the claim on behalf, for the account, and at the risk and expense (including the payment of reasonable attorneys' fees of such Indemnitee regardless of whether the Indemnitee prevails against the third party claim) of the CMO. If the CMO assume the defense of such claim, the obligation of the CMO hereunder as to such claim shall include taking all reasonably necessary steps in the defense of such claim.

- c) The CMO shall not consent to the entry of any judgment or settle or compromise any third party demands, claims, actions, suits or proceedings for which an Indemnitee has sought indemnification from the CMO unless it shall have given such Indemnitee not less than 15 days prior written notice of the proposed consent, settlement or compromise, and afforded such Indemnitee an opportunity to consult with the CMO regarding the proposed consent, settlement or compromise, and shall not consent to the entry of any judgment or enter into any settlement or compromise without the approval of such Indemnitee. An Indemnitee shall not unreasonably withhold or delay its approval of a proposed consent, settlement or compromise. In determining whether to give its approval, an Indemnitee may consider whether the proposed consent, settlement or compromise includes as an unconditional term thereof the giving by the claimant to such Indemnitee of a release from all liabilities and obligations of whatever kind or nature in respect of such claim except the liabilities and obligations satisfied by the CMO.
- d) The rights to indemnification and reimbursement provided by, or granted pursuant to, this Section 8 shall continue as to an Indemnitee who has ceased to be a trustee, director, officer, agent, servant or employee of the Charter School (or other person indemnified hereunder). The provisions of this Section 8 shall be a contract between the CMO, on the one hand, and each Indemnitee who served at any time while this Section 8 is in effect in any capacity entitling such Indemnitee to indemnification hereunder, on the other hand, pursuant to which the CMO and each such Indemnitee intend to be legally bound. No repeal or modification of this Section 8 shall affect any rights or obligations with respect to any state of facts then or theretofore existing or thereafter arising or any action, suit or proceeding theretofore or thereafter brought or threatened based in whole or in part upon such state of facts.
- e) During the term of this Agreement the CMO shall at all times at its own expense maintain comprehensive general public liability insurance from an insurance carrier licensed in the State of New York and having a Best's rating of not less than A-VIII, covering acts and omissions of the CMO and its employees, consultants and contractors and naming the Charter School as an additional insured. Such insurance shall have liability limits of not less than \$1,000,000 per occurrence and \$ 2,000,000 in the aggregate. The CMO also maintains an umbrella liability policy of \$5,000,000 per occurrence. Such policy of insurance shall contain a clause that the same shall not be cancelled except on thirty (30) days' written notice to the Charter School.

9. Non-Solicitation. To the extent permitted by law, the Charter School agrees that from and after the date hereof until twelve (12) months after the end of the fiscal year in which this Agreement is validly terminated or expires at the end of the then-current term, in each case, pursuant to Section 7 (the “Restricted Period”), it shall not solicit to hire, or hire, or cause or permit any of its Affiliates (as defined below), agents, or independent contractors to employ, directly or indirectly, in any capacity, any director, officer or employee of the CMO who is, or has been during the term of this Agreement, engaged by the CMO or any Affiliate of the CMO to render services as an employee or independent contractor, except (i) for up to four (4) individuals in aggregate during the Restricted Period; provided, that the Charter School gives the CMO prompt written notice of the name of each such individual and the Charter School’s reliance on this exception or (ii) for general solicitations of employment, but not hiring or employing (other than expressly permitted herein); provided, that such solicitations are not specifically directed to any such officer, director or employee. The CMO agrees that during the Restricted Period, it shall not solicit to hire, or hire, or cause or permit any of its Affiliates, agents, or independent contractors to employ, directly or indirectly, in any capacity, any person who is, or has been during the term of this Agreement, engaged by the Charter School as a school leader, teacher or administrator, except (i) for up to four (4) individuals in aggregate during the Restricted Period; provided, that the CMO gives the Charter School prompt written notice of the name of each such individual and the CMO’s reliance on this exception or (ii) for general solicitations of employment, but not hiring or employing (other than expressly permitted herein); provided, that such solicitations are not specifically directed to any such school leader, teacher or administrator.

For the purposes of this Agreement, “Affiliate” of any Person means (i) any other Person which, directly or indirectly, controls or is controlled by that Person, or is under common control with that Person and (ii) in the case of the CMO, all other charter schools (x) with which the CMO or its Affiliates has management or operational agreements or management or operational arrangements or (y) which are otherwise part of the Democracy Builders’ network. For the purposes of this definition, (a) “control” (including, with correlative meaning, the terms “controlled by” and “under common control with”), as used with respect to any Person, shall mean the possession, directly or indirectly, of the power to direct or cause the direction of the operations, activities, management or policies of such Person, whether through the ownership of voting securities, by agreement or otherwise and (b) “Person” means any individual, partnership, corporation, limited liability company, trust, estate, association, unincorporated organization or other entity or association.

10. Miscellaneous.

- a) Notices. All communications and notices relating to this Agreement are to be delivered in writing, with confirmation of delivery, to the following address or to such other address as either party may designate from time to time:

If the Charter School or the Board, to:

The Board of Trustees  
Democracy Prep Harlem Charter School  
222 West 134<sup>th</sup> Street  
New York, New York 10030  
Attention: Robert North  
Chairman

If to CMO, to:

Democracy Builders

207 West 133rd Street  
New York, New York 10030  
Attention: Seth Andrew  
Founder & Superintendent

- b) Severability. In the event that any provision of this Agreement or the application hereof to either party or in any circumstances shall be determined to be invalid, unlawful, or unenforceable to any extent, the remainder of this Agreement and the application of such provisions to either party or circumstances other than those as to which it is determined to be invalid, unlawful, or unenforceable, shall not be affected thereby, and each remaining provision of this Agreement shall continue to be valid and may be enforced to the fullest extent permitted by law.
- c) Waiver. The failure by either party hereto to insist upon or to enforce any of its rights shall not constitute a waiver thereof, and nothing shall constitute a waiver of such party's right to insist upon strict compliance with the provisions hereof. No delay in exercising any right, power or remedy created hereunder shall operate as a waiver thereof, nor shall any single or partial exercise of any right, power or remedy by any such party preclude any other or further exercise thereof or the exercise of any other right, power or remedy. No waiver by any party hereto to any breach of or default in any term or condition of this Agreement shall constitute a waiver of or assent to any succeeding breach of or default in the same or any other term or condition hereof.
- d) Amendment. This Agreement shall not be changed, modified or amended nor shall a waiver of its terms or conditions be deemed effective except by a writing signed by the parties hereto.
- e) Cooperation. The parties hereto acknowledge that the management of public charter schools by third parties is an area presenting numerous legal uncertainties and ambiguities, and that the arrangements contemplated by this Agreement are new and unique and in light of these factors agree to work together in good faith to resolve in manner consistent with the spirit and intent of the relationship created hereby, any new or unforeseen issues which arise in carrying out the terms of this Agreement.
- f) Assignment. This Agreement may not be assigned by either party without the prior written consent of the other party. The covenants and agreements contained herein shall be binding upon, and inure to the benefit of, the heirs, legal representatives, successors and permitted assigns of the respective parties hereto.
- g) Governing Law. This Agreement shall be governed by, and construed and enforced in accordance with, the laws of the State of New York, without regard to the conflicts of law rules thereof.
- h) Counterparts. This Agreement may be executed in one or more counterparts, each of which will be deemed to be an original copy of this Agreement and all of which, when taken together, will be deemed to constitute one and the same agreement.
- i) Expenses. Except as expressly provided in this Agreement, each of the parties hereto shall bear its own costs and expenses incurred in connection with the negotiation, execution and delivery of this Agreement.
- j) No Third-Party Beneficiaries. This Agreement does not confer any rights or remedies upon any person or entity, other than the parties hereto and their respective successors and permitted assigns.

- k) Construction. Whenever the context requires, the gender of all words used in this Agreement includes the masculine, feminine, and neuter. The words “hereof”, “herein” and “hereunder” and words of similar import when used in this Agreement will refer to this Agreement as a whole and not to any particular provision of this Agreement, and all references to Articles and Sections refer to articles and sections of this Agreement, all references to “including” or any variation thereof will be construed as meaning “including without limitation” and all references to Exhibits, Schedules or Appendices are to Exhibits, Schedules or Appendices attached to this Agreement, as amended pursuant to this Agreement from time to time, each of which is made a part of this Agreement for all purposes. All headings and captions contained in this Agreement and the table of contents hereto are inserted for convenience only and shall not be deemed a part of this Agreement. The Annexes are considered a part of this Agreement. The word “extent” in the phrase “to the extent” means the degree to which a subject or other thing extends, and such phrase does not mean simply “if”. The sign “\$” when used in this Agreement means the lawful money of the United States of America.
- l) Directly or Indirectly. Where any provision in this Agreement refers to action to be taken by any person or entity, or which such person or entity is prohibited from taking, such provision will be applicable whether such action is taken directly or indirectly by such person or entity.
- m) Entire Agreement. This Agreement constitutes the entire agreement and understanding between the parties with respect to the subject matter hereof and supersedes all prior agreements, understandings, negotiations, representations and statements, whether oral, written, implied or expressed, relating to such subject matter.

[Remainder of Page Intentionally Left Blank]

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be executed by their respective officers thereunto duly authorized, as of the date first written above.

CHARTER SCHOOL:

**DEMOCRACY PREP HARLEM CHARTER SCHOOL**

By: \_\_\_\_\_  
Name:  
Title:

CMO:

**DEMOCRACY BUILDERS**

By: \_\_\_\_\_  
Name:  
Title:

## **SCHEDULE A**

### **Licensed Trademarks**

- Democracy Prep
- Democracy Builders
- Democracy Preparatory Public Schools
- Dream - Discipline, Respect, Enthusiasm, Accountability and Maturity
- Work Hard. Go To College. Change The World!
- Choice and Voice
- Voice and Choice
- Parents Organizing to Win Education Reform
- Parents Organizing to Win Education Reform Now!
- POWER Now!
- You Earn This (YET)
- Citizen-Scholar(s)
- DREAM Dollars
- Democracy Prep Blackstone Valley
- Logos of Democracy Preparatory Public School, Democracy Prep Harlem, Democracy Prep Charter School
- "Preparing students for success in college and citizenship"
- DREAM Detention
- "the Competence-Loyalty Matrix"

## **SCHEDULE B**

### **Licensed Curriculum Materials**

#### School Design:

- School Day/Class Schedule
- Annual Calendar
- DREAM dollars system
- Assessment Schedule
- Professional Development Plan/Program
- Prep Academy
- Manuals (Financial Policies, Personnel)
- Teacher Rubric
- Manuals

#### Curriculum:

- Curriculum Crosswalks
- Scope and Sequence
- Comprehensive Exams
- Interim Assessments
- Exit Tickets
- Do Now
- Unit Plans

## Budget Narrative File(s)

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\* **Mandatory Budget Narrative Filename:**

[Add Mandatory Budget Narrative](#)

[Delete Mandatory Budget Narrative](#)

[View Mandatory Budget Narrative](#)

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To add more Budget Narrative attachments, please use the attachment buttons below.

[Add Optional Budget Narrative](#)

[Delete Optional Budget Narrative](#)

[View Optional Budget Narrative](#)

## **Budget Narrative**

Democracy Prep Public Schools plans to use CSP funds to support the replication strategy discussed in Section C of its Project Narrative. Federal funds will support pre-start-up costs for new schools and capacity-building work at the CMO level including creating infrastructure for the expansion of the *LEADER U* training program.

The Budget Summary Form (ED 524) shows that the requested grant award is \$9,110,029. DPPS has conservatively budgeted such that no external match is needed to support all projects and purchasing plans described within the scope of this application. 80.01% of Federal grant funds allocated in ED 524 will go to replicating DPPS schools, and 19.99% are directed towards CMO-level costs. This allocation places the project under the 20% maximum for Federal funds spent by the CMO.

This document provides an itemized, year-by-year, breakdown of the budget for grant funds outlined in the Budget Summary Form. Each category is further broken down, when applicable, into CMO expenses and replication expenses. All expenses assume an inflationary factor of 3% annually. Some costs fluctuate based on the number of Leader U fellows in the pipeline, the number of newly replicated schools or first year leaders, and the number of total replicated schools; a chart is included at top that reflects these factors. In all cases, the variance will be noted in the Cost Basis column. (Note that this budget does not represent all expenses of DPPS, the CMO, or of all schools to be built. See the multi-year financial model for an overview of the CMO's budget, both revenues and expenses, over the next five years.)

	<i>FY2013</i>	<i>FY2014</i>	<i>FY2015</i>	<i>FY2016</i>	<i>FY2017</i>	<i>Total</i>
Total replicated schools	3	5	8	10	13	39
<i>LEADER U</i> fellows in training	4	4	4	4	4	4 at any time
First year leaders	2	3	3	2	3	13

<i>Line Item</i>	<i>Justification</i>	<i>Cost Basis</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	<i>2016</i>	<i>2017</i>	<i>Total</i>
<b>1. Personnel</b>			<b>\$1,136,800</b>	<b>\$1,607,212</b>	<b>\$1,094,955</b>	<b>\$984,745</b>	<b>\$967,938</b>	<b>\$5,791,650</b>
<i>CMO-Setup</i>								
Leader U Coordinator	<ul style="list-style-type: none"> <li>• Coordinate with organizational partners to develop <i>LEADER U</i> curriculum, academic partnership, and leadership residency</li> <li>• Manage fellow recruitment</li> <li>• Coordinate placement of fellows in schools</li> <li>• Responsible for oversight of <i>LEADER U</i> finances and grants.</li> </ul>	\$72,100 per year for first three years, \$45,000 in year 4, and \$0 year five.	\$72,100	\$74,263	\$76,491	\$45,000	\$0	\$267,854
Recruitment Manager		\$72,100 per year for two years. One manager in year one, two in year two	\$72,100	\$148,526	\$0	\$0	\$0	\$220,626
Special Education and ELL		\$72,100 per year for two years	\$72,100	\$74,263	\$0	\$0	\$0	\$146,363

Compliance Coordinator								
Data Associates		\$51,500 per year for two years. One in year one, two in year two.	\$51,500	\$106,090	\$0	\$0	\$0	\$157,590
HR Coordinator		\$72,100 per year for two years	\$72,100	\$74,263	\$0	\$0	\$0	\$146,363
Finance Coordinator		\$72,100 per year for two years	\$72,100	\$74,263	\$0	\$0	\$0	\$146,363
Curriculum Specialists		2 at \$82,400 per year for two years	\$164,800	\$169,744	\$0	\$0	\$0	\$334,544
<u>School Replication</u>								
LEADER U Fellowship Stipend	Professional stipend for LEADER U participants.	\$90,000 per fellow. Four per year.	\$360,000	\$370,800	\$381,924	\$393,382	\$405,183	\$1,911,289
LEADER U Graduate/school leader in first year	Start-up salary for each graduated fellow leading a school.	\$100,000 per school in year 1 and 2.	\$200,000	\$515,000	\$636,540	\$546,364	\$562,754	\$2,460,658
Assistant campus director	Start-up salary for assistant campus directors in acquisition schools	\$80,000 per new acquisition school	\$80,000	\$82,400	\$84,872	\$87,418	\$90,041	\$424,731
<b>2. Fringe Benefits</b>			<b>\$292,032</b>	<b>\$405,507</b>	<b>\$283,158</b>	<b>\$257,319</b>	<b>\$253,915</b>	<b>\$1,491,931</b>
<u>CMO-Setup</u>								

Benefits	Such as: • Health care • Life insurance • Dental insurance • Retirement plan	24% of salaries under CMO subcategory of Personnel	\$138,432	\$173,139	\$18,358	\$10,800	\$0	\$340,729
<i>School Replication</i>								
Benefits	Such as: • Health care • Life insurance • Dental insurance • Retirement plan	24% of salaries under CMO subcategory of Personnel	\$153,600	\$232,368	\$264,801	\$246,519	\$253,915	\$1,151,203
<b>3. Travel</b>			<b>\$8,450</b>	<b>\$8,704</b>	<b>\$8,965</b>	<b>\$9,234</b>	<b>\$9,511</b>	<b>\$44,862</b>
<i>CMO-Setup</i>								
Yearly project director meetings	As required by USDOE	Estimated \$200 for travel, \$125 in accomodation and expenses per day.	\$450	\$464	\$477	\$492	\$506	\$2,389
<i>School Replication</i>								
LEAADER U Fellow travel	Such as: • Travel between residencies, school visits, and schools of education	\$2,000 per fellow in training	\$8,000	\$8,240	\$8,487	\$8,742	\$9,004	\$42,473
<b>4. Equipment</b>			<b>\$135,000</b>	<b>\$206,000</b>	<b>\$212,180</b>	<b>\$147,518</b>	<b>\$225,102</b>	<b>\$925,800</b>
<i>CMO-Setup</i>								
Equipment rental and purchase	Such as: • Laptops • Copy machines • Cellular phones	\$5,000 per year	\$5,000	\$5,150	\$5,305	\$5,464	\$5,628	\$26,546

<i>School Replication</i>								
Instructional technology	Such as: • Smart boards • Laptops and desktops • Projectors	\$45,000 per new school in the replication pipeline	\$90,000	\$139,050	\$143,222	\$98,345	\$151,944	\$622,561
Non-instructional technology and equipment	Such as: • Routers • Copy machines • Safes	\$20,000 per new school in the replication pipeline	\$40,000	\$61,800	\$63,654	\$43,709	\$67,531	\$276,694
<b>5. Supplies</b>			<b>\$26,000</b>	<b>\$40,170</b>	<b>\$41,375</b>	<b>\$28,411</b>	<b>\$33,765</b>	<b>\$169,721</b>
<i>CMO-Setup</i>								
Office supplies	Such as: • Paper • Copy supplies • Organization systems	\$3,000 per year per new school in the replication pipeline	\$6,000	\$9,270	\$9,548	\$6,556	\$0	\$31,374
<i>School Replication</i>								
School supplies	Such as: • Binders/student organizers • Lockers • Student books	\$10,000 per year per new school in the replication pipeline	\$20,000	\$30,900	\$31,827	\$21,855	\$33,765	\$138,347
<b>6. Contractual</b>			<b>\$99,950</b>	<b>\$147,136</b>	<b>\$154,255</b>	<b>\$115,720</b>	<b>\$168,432</b>	<b>\$685,493</b>
<i>CMO-Setup</i>								
<i>School Replication</i>								

School quality review	Contract with BES Fellowship Director Sue Walsh to provide individual evaluation of <i>LEADER Uschools</i> .	\$15,000 yearly for BES school review; \$1,200 per school yearly for external school visits.	\$17,400	\$19,158	\$19,733	\$19,013	\$20,934	\$96,239
Ongoing leadership development		\$20,000 per year per new school in the replication pipeline	\$40,000	\$61,800	\$63,654	\$43,709	\$67,531	\$276,694
Professional Development	Provide high-quality professional development to instructional staff, including using technology to drive instruction. Providers include BES, Uncommon Schools, and others.	\$20,000 per year per new school in the replication pipeline	\$40,000	\$61,800	\$63,654	\$43,709	\$67,531	\$276,694
Contract with external evaluator	Such as: • Dr. Roland Fryer of EdLabs	\$800 per year per newly replicated school	\$2,550	\$4,378	\$7,214	\$9,288	\$12,437	\$35,867
<b>7. Construction</b>	N/A							
<b>8. Other</b>	N/A							
<b>9. Total Direct Costs (lines 1-8)</b>			<b>\$1,698,232</b>	<b>\$2,414,728</b>	<b>\$1,794,888</b>	<b>\$1,542,947</b>	<b>\$1,658,662</b>	<b>\$9,109,457</b>
<b>10. Indirect Costs*</b>	N/A							
<b>11. Training Stipends</b>	See Item #1, Personnel							
<b>12. Total Costs (lines 9-11)</b>			<b>\$1,698,232</b>	<b>\$2,414,728</b>	<b>\$1,794,888</b>	<b>\$1,542,947</b>	<b>\$1,658,662</b>	<b>\$9,109,457</b>

# Survey on Ensuring Equal Opportunity For Applicants

OMB No. 1890-0014 Exp. 2/28/2009

## Purpose:

The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

## Instructions for Submitting the Survey

If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

<b>Applicant's (Organization) Name:</b>	Democracy Prep Public Schools
<b>Applicant's DUNS Name:</b>	8289616100000
<b>Federal Program:</b>	Office of Innovation and Improvement (OII): Charter Schools Program (CSP); Grants f
<b>CFDA Number:</b>	84.282

1. Has the applicant ever received a grant or contract from the Federal government?

Yes  No

2. Is the applicant a faith-based organization?

Yes  No

3. Is the applicant a secular organization?

Yes  No

4. Does the applicant have 501(c)(3) status?

Yes  No

5. Is the applicant a local affiliate of a national organization?

Yes  No

6. How many full-time equivalent employees does the applicant have? (Check only one box).

3 or Fewer  15-50

4-5  51-100

6-14  over 100

7. What is the size of the applicant's annual budget? (Check only one box.)

Less Than \$150,000

\$150,000 - \$299,999

\$300,000 - \$499,999

\$500,000 - \$999,999

\$1,000,000 - \$4,999,999

\$5,000,000 or more

# Survey Instructions on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 2/28/2009

**Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.**

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

## **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this

information collection is **1890-0014**. The time required

to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

**If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

**U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS**

OMB Number: 1894-0008  
Expiration Date: 02/28/2011

Name of Institution/Organization

Democracy Prep Public Schools

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	1,136,800.00	1,607,212.00	1,094,954.89	984,745.22	967,936.58	5,791,648.69
2. Fringe Benefits	292,032.00	405,507.88	283,158.45	257,319.21	253,915.79	1,491,933.33
3. Travel	8,450.00	8,704.50	8,964.61	9,233.54	9,511.55	44,864.20
4. Equipment	135,000.00	206,000.00	212,180.00	147,518.15	225,102.76	925,800.91
5. Supplies	26,000.00	40,170.00	41,375.10	28,410.90	33,765.26	169,721.26
6. Contractual	99,950.00	147,136.50	154,254.86	115,719.79	168,432.39	685,493.54
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)	1,698,232.00	2,414,730.88	1,794,887.91	1,542,946.81	1,658,664.33	9,109,461.93
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)	1,698,232.00	2,414,730.88	1,794,887.91	1,542,946.81	1,658,664.33	9,109,461.93

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?  Yes  No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From:  To:  (mm/dd/yyyy)

Approving Federal agency:  ED  Other (please specify):

The Indirect Cost Rate is  %.

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

Is included in your approved Indirect Cost Rate Agreement? or,  Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is  %.

Name of Institution/Organization Democracy Prep Public Schools	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.	
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**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

**SECTION C - BUDGET NARRATIVE (see instructions)**