

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



APPLICATION FOR GRANTS
UNDER THE

FY15 Replication and Expansion of High-Quality Charter Schools Package

CFDA # 84.282M

PR/Award # U282M150012

Grants.gov Tracking#: GRANT11961785

OMB No. , Expiration Date:

Closing Date: Jul 15, 2015

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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="07/14/2015"/>	4. Applicant Identifier: <input type="text"/>
--	--

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

State Use Only:

6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>
---	---

8. APPLICANT INFORMATION:

* a. Legal Name:

* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="20-5298861"/>	* c. Organizational DUNS: <input type="text" value="8301864870000"/>
--	---

d. Address:

* Street1:	<input type="text" value="95 Pine Street"/>
Street2:	<input type="text" value="Floor 6"/>
* 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="10005-3917"/>

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"/>	* First Name: <input type="text" value="Scott"/>
Middle Name: <input type="text" value="E"/>	
* Last Name: <input type="text" value="Sobelman"/>	
Suffix: <input type="text"/>	

Title:

Organizational Affiliation:

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

* Email:

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-061215-001

* Title:

The 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:

84-282M2015-1

Title:

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

Add Attachment

Delete Attachment

View Attachment

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

Replicating & Expanding Success for Thousands of NYC Children

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.

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="1,314,513.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="11,792,736.00"/>
* d. Local	<input type="text" value="120,000.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="13,227,249.00"/>

*** 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

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:

Representative	Congressional District	Existing Schools	Districts Applied In
Gregory Meeks	5	SA-RO, SA-SG	27, 28
Grace Meng	6		24,27,28
Nydia M. Velazquez	7	SA-CH, SA-FG, SA-WB	2,13,14,15,23,24,27
Hakeem Jeffries	8	SA-BS1, SA-BS2, SA-BSMS, SA-BB	13,14,15,17,18,22,23,27
Yvette D. Clarke	9	SA-CR, SA-PH	13,15,17,18,22,23
Jerrold Nadler	10	SA-HK, SA-UW, SA-BH, SA-MWMS	2,3,15,22
Dan Donovan	11		22
Carolyn B. Maloney	12	SA-US, SA-HSLA	2,14,24,30
Charles B. Rangel	13	SA-H1,SA-H2,SA-H3,SA-H4,SA-H5,SA-HC,SA-HE,SA-HNC,SA-HNW,SA-HW,SA-WH	2,3,9
Joseph Crowley	14		24,28,30
José E. Serrano	15	SA-BX1,SA-BX1MS,SA-BX2,SA-BX2MS,SA-BX3,SA-BX4	9

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.
19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

<p>SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p>Scott Sobelman</p>	<p>TITLE</p> <p>Associate Director of Finance</p>
<p>APPLICANT ORGANIZATION</p> <p>Success Academy Charter Schools, Inc.</p>	<p>DATE SUBMITTED</p> <p>07/14/2015</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

1. * Type of Federal Action: <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	2. * Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. * Report Type: <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
--	--	--

4. Name and Address of Reporting Entity:
 Prime SubAwardee

* Name: Success Academy Charter Schools, Inc

* Street 1: 95 Pine Street, Street 2: Floor 6

* City: New York State: NY: New York Zip: 10005

Congressional District, if known: 10

5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:

6. * Federal Department/Agency: US Department of Education	7. * Federal Program Name/Description: Charter Schools CFDA Number, if applicable: 84.282
--	--

8. Federal Action Number, if known: []	9. Award Amount, if known: \$ []
---	---

10. a. Name and Address of Lobbying Registrant:

Prefix [] * First Name Thompson Coburn LLC Middle Name []

* Last Name Registered Lobbyist Suffix []

* Street 1: 1909 K. Street Street 2: Suite 600

* City: Washington State: DC: District of Columbia Zip: 20006

b. Individual Performing Services (including address if different from No. 10a)

Prefix [] * First Name Christopher Middle Name T.

* Last Name Murray Suffix []

* Street 1: 1909 K. Street Street 2: []

* City: Washington State: DC: District of Columbia Zip: 20006

11. 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: Scott Sobelman

* Name: Prefix [] * First Name Scott Middle Name E.
* Last Name Sobelman Suffix []

Title: Associate Director of Finance Telephone No.: [REDACTED] Date: 07/14/2015

Federal Use Only: Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

PR/Award # U282M150012

NOTICE TO ALL APPLICANTS

OMB Number: 1894-0005
Expiration Date: 03/31/2017

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.

(4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students.

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. Public reporting burden for this collection of information is estimated to average 1.5 hours 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. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email ICDocketMgr@ed.gov and reference the OMB Control Number 1894-0005.

Optional - You may attach 1 file to this page.

GEPA-CSP 2015 .pdf

Add Attachment

Delete Attachment

View Attachment

Addressing Section 427 of GEPA

Success Academy Charter Schools (SA) recognizes that, based on local circumstances, students with special education designation and students with limited English proficiency face greater educational challenges than their peers. SA has taken this into account as we have developed our program model, and we are deeply committed to enhancing access for these students.

Approximately 15 % of SA's student body are current or former special needs students, and approximately 8.5 % are current or former English Language Learners (ELLs). As described throughout our proposal, SA has had great success serving special education students and students with limited English proficiency.

SA educates students with disabilities in the least restrictive environment, with their non-disabled, native English speaking peers to the extent appropriate and allowed by each student's Individualized Education Program (IEP) prepared by the Committee on Special Education (CSE) of the student's school district of residence and all applicable federal laws, including the Individuals with Disabilities Education Act (IDEA). Additionally, SA provides additional push-in and other support services to its special education and ELL students to ensure they are able to achieve at the same high level as their peers.

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.

* APPLICANT'S ORGANIZATION Success Academy Charter Schools, Inc.	
* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
Prefix: <input type="text"/>	* First Name: <input type="text" value="Scott"/> Middle Name: <input type="text" value="E"/>
* Last Name: <input type="text" value="Sobelman"/>	Suffix: <input type="text"/>
* Title: <input type="text" value="Associate Director of Finance"/>	
* SIGNATURE: <input type="text" value="Scott Sobelman"/>	* DATE: <input type="text" value="07/14/2015"/>

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:

Abstract: Replicating & Expanding Success for Thousands of NYC Children

Since opening its first charter school in Harlem in 2006, Success Academy (SA) has maintained an excellent track record for operational efficiency and high academic achievement among students of color, English Language Learners (ELL), and special needs children alike. SA has reversed the achievement gap for thousands of children: 76% of its scholars qualify for free or reduced price lunch; 85% are children of color. For six consecutive years, SA students have achieved tremendous academic success, ranking in the top percentages of all schools in the city and state. On the 2014 state exams, 100% of SA students passed science; 94% passed math, compared to 35% of NYC students; 64% passed English Language Arts, compared with 29% of NYC kids. SA's ELL and special needs students outperformed their citywide peers by dramatic margins. Even as SA students have excelled academically, they have also benefitted from a robust, engaging curriculum: science five days a week, chess, art, music, dance, and sports. They know the thrill of competing – and winning – at chess and debate championships. They have met famous writers and journalists, chess grandmasters, and Olympic champions. Regardless of personal circumstances, they have experienced a world rich in art, music, theater and dance.

The vast majority of NYC public schools are failing to help students, especially students of color, achieve at a level that will prepare them for college. There is great demand for SA schools, as this year's wait list of 19,000 shows. Determined to meet this need, as of August 2015, SA will operate 34 pre-K-12 charter schools in NYC, serving 11,000 primarily low-income, minority students in neighborhoods deprived of safe, high-quality schools. With the help of this grant and other public and private funding, SA will replicate and expand, opening 22 elementary, 11 middle, and 3 high schools over the next five years, educating more than 27,500 students. SA requests CSP support to open 8 elementary schools and expand 2 middle and 4 high schools.

Project Narrative File(s)

* **Mandatory Project Narrative File Filename:**

To add more Project Narrative File attachments, please use the attachment buttons below.

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ABSOLUTE PRIORITY #1: EXPERIENCE OPERATING OR MANAGING
HIGH-QUALITY CHARTER SCHOOLS

Quality of the Eligible Applicant

For New York City’s 1.1 million public school students, access to high quality schools depends almost entirely on geography: families in the city’s affluent neighborhoods have more options and can expect their children to excel, but for the city’s most vulnerable children living in poorer areas, the outlook is bleak. Across the city, only one in four 6th graders can read at grade level; 70% of 7th graders are failing math.¹ One in three students fail to graduate from high school; among black and Hispanic students, two in five fail to graduate.² Of those who graduate, only 22% have the math and literacy skills to succeed in college – and the odds are far worse for black and Hispanic graduates.³ The achievement gap separating New York City white and Asian students from their African American and Hispanic peers is profound: 19% of African American students and 23% of Hispanic students passed last year’s state math exam.⁴ By comparison, twice as many white students and almost three times the number of Asian students passed.⁵

Children who speak a language other than English at home are especially challenged and not particularly well served in New York City public schools. More than 159,000 English

¹ New York City Department of Education, *New York State Common Core English Language Arts (ELA) & Mathematics Tests, Grades 3-8, New York City Results*, Aug. 2014, available at <http://schools.nyc.gov/NR/rdonlyres/C7E210CA-F686-4805-BEA6-EDD91F76E58B/167997/2014MathELAPublic.pdf>

² New York City Department of Education, *New York City Graduation Rates Class of 2014*, available at <http://schools.nyc.gov/NR/rdonlyres/04A151BF-F9E4-4960-8881-E1B07AA57DF8/179863/2014GraduationRatesPublicWebsite.pdf>

³ Engage NY, *College and Career Readiness*, Dr. John B. King, Jr., available at <http://usny.nysed.gov/docs/reform-agenda-hearing-testimony-nyc.pdf>

⁴ New York City Department of Education, *New York State Common Core English Language Arts (ELA) & Mathematics Tests, Grades 3-8, New York City Results 2014*

⁵ *Ibid.*

Language Learners (ELLs) struggle to gain English proficiency.⁶ Their futures depend on their ability to learn English and complete the same coursework as their English-proficient peers. Yet, typically more than a third of students identified as ELL at age 5 or 6 have not gained English proficiency by the 7th grade and only 30% passed the New York State English as a Second Language Achievement Test within three years.⁷

Consistent Student Academic Achievement

In the face of such large-scale educational failure, Success Academy (SA) has established an extraordinary track record of high student achievement: in 2009, the first year its students were eligible to take the New York State exams, 100% of students passed math and 95% passed English Language Arts (ELA). SA Harlem 1 students – all African American and Hispanic – outperformed schools located in more affluent communities, including the Upper East and Upper West Sides of Manhattan and the affluent suburb of Scarsdale.

Demonstrating that SA Harlem 1's early outcomes were anything but a fluke, in subsequent years, all testing schools have consistently maintained the same extraordinary student outcomes on the state's proficiency exams.

The results cited below far exceed citywide averages: for example, in 2014, the New York City average passage rates were 35% on the math exam and 29% on the ELA exam. Notably, SA scholars have continued to consistently outperform more affluent areas in and around New York City. The academic gains SA students have made are all the more notable when compared with their peers in neighboring schools.

⁶ New York City Department of Education, Office of English Language Learners 2013 Demographic Report, available at http://schools.nyc.gov/NR/rdonlyres/FD5EB945-5C27-44F8-BE4B-E4C65D7176F8/0/2013DemographicReport_june2013_revised.pdf

⁷ Success Academy Charter School, *Parking Lot of Broken Dreams: How English Language Learner Programs in NYC Hurt Children*, March 2011. Available at: <http://successacademies.org/site/uploads/2015/07/NYSESLAT-Report-1-1.pdf>

Six Years of High Student Achievement

Year	Age-Eligible Schools	Math Proficiency	ELA Proficiency	Math Rank In NY State	ELA Rank In NY State
2009	SA Harlem 1	100%	95%	Top 3%	Top 6%
2010	SA Harlem 1	95%	88%	Top 1%	Top 2%
2011	SA Harlem 1-4	95%	81%	Top 4%	Top 10%
2012	SA Harlem 1-4	96%	88%	Top 1%	Top 3%
2013*	SA Harlem 1-5 SA Bronx 1-2 SA Harlem West SA Harlem Central	82%	58%	Top 1%	Top 7%
2014	SA Harlem 1-5 SA Bronx 1-2 SA Harlem West SA Harlem Central SA Upper West SA Bed-Stuy 1 SA Harlem East SA Harlem North Central	94%	64%	Top 1%	Top 3%

*In 2013, New York adopted more rigorous, Common Core-aligned state exams.

2013-14 New York State Math Exam

Success Academy	% Passing	Co-Located School	% Passing	District	% Passing
Harlem 1	92%	PS 149 Sojourner Truth	16%	District 3	48%
Harlem 2	88%	PS 30 Hernandez/Hughes	15%	District 5	15%
Harlem 3	94%	Mosaic Preparatory (M375)	13%	District 4	26%
Harlem 4	92%	STEM Institute (M241)	10%	District 3	48%
Harlem 5	97%	PS 123 Mahlia Jackson	6%	District 5	15%
Harlem West M.S.	95%	Frederick Douglas Academy II (M860)	6%	District 3	48%
		Wadleigh Secondary (M415)	4%	District 3	48%
Harlem Central M.S.	93%	PS 208 Locke	2%	District 3	48%
Bronx 1**	93%	PS 18 John Peter Zenger**	15%	District 7	13%
Bronx 2	99%	PS 55 Benjamin Franklin	16%	District 9	16%
Harlem North Central M.S.	95%	PS 175 Henry Garnet	9%	District 5	15%
Harlem East M.S.	95%	Mosaic Preparatory (M375)	5%	District 4	26%
Bed-Stuy 1**	98%	PS 297 Abraham Stockton**	36%	District 14	27%
Upper West**	100%	PS 9 Sarah Anderson**	80%	District 3	48%

2013-14 New York State English Language Arts Exam

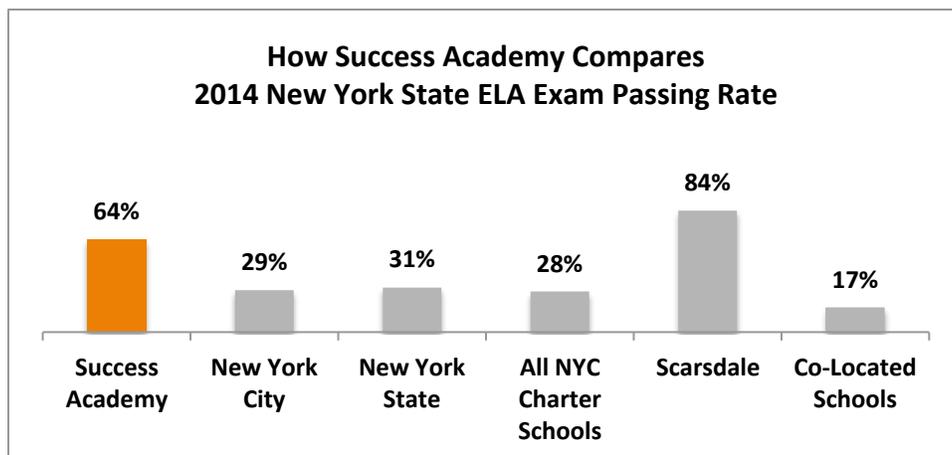
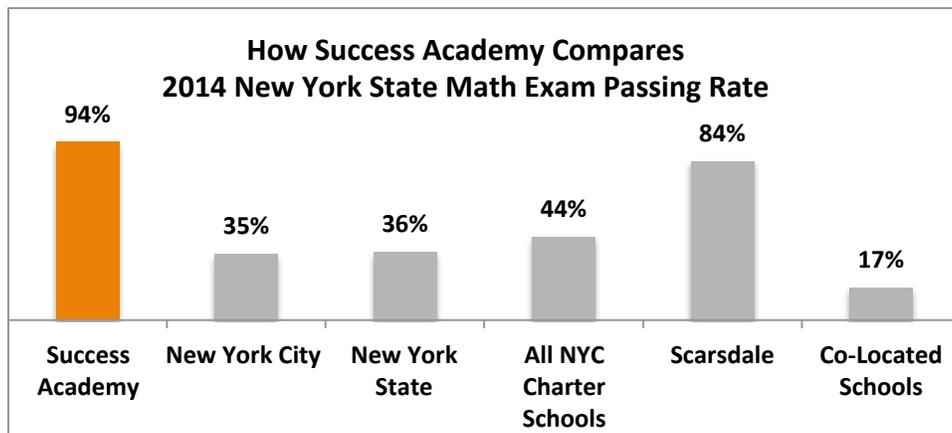
Success Academy School	% Passing	Co-Located School	% Passing	District	% Passing
Harlem 1	53%	PS 149 Sojourner Truth	11%	District 3	45%
Harlem 2	61%	PS 30 Hernandez/Hughes	18%	District 5	15%
Harlem 3	71%	Mosaic Preparatory (M375)	14%	District 4	22%
Harlem 4	56%	STEM Institute (M241)	16%	District 3	45%
Harlem 5	64%	PS 123 Mahlia Jackson	6%	District 5	15%
Harlem West M.S.		Frederick Douglas Academy II (M860)	12%	District 3	45%
		Wadleigh Secondary (M415)	6%	District 3	45%
Harlem Central M.S.	49%	PS 208 Locke	7%	District 3	45%
Bronx 1 **	60%	PS 18 John Peter Zenger**	6%	District 7	9%
Bronx 2	69%	PS 55 Benjamin Franklin	7%	District 9	12%
Harlem North Central M.S.	69%	PS 175 Henry Garnet	14%	District 5	15%
Harlem East M.S.	65%	Mosaic Preparatory (M375)	38%	District 4	22%
Bed-Stuy 1**	81%	PS 297 Abraham Stockton**	13%	District 14	25%
Upper West**	84%	PS 9 Sarah Anderson**	70%	District 3	45%

**SA schools lacking a co-located school with the same testing grades (analysis uses closest school instead).

This academic achievement led the U.S. Department of Education to name SA Harlem 1 a national Blue Ribbon School in 2012, which is the USDOE’s highest honor. (SA Harlem 3 is currently a finalist for being awarded Blue Ribbon School for 2015; we expect to hear within the next few months.) Year after year SA educates more students by adding grades, and opening new schools and consistently provides the same top-notch educational programming and outcomes for all students, particularly students at risk of academic failure. Highlights from 2014 include:

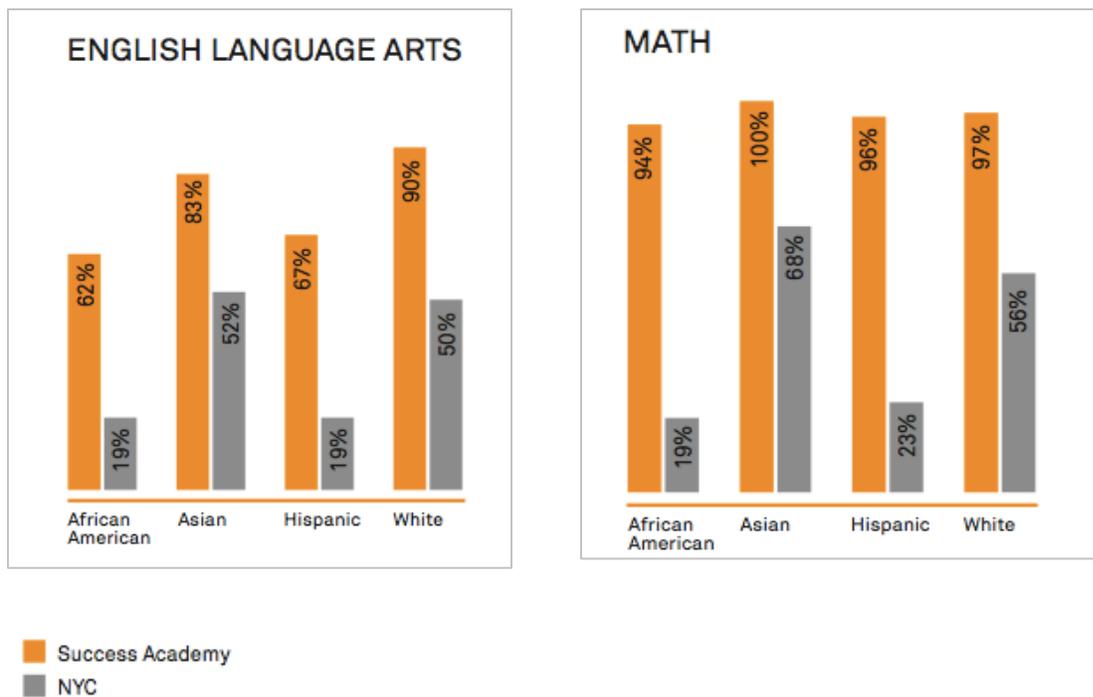
- 69% of SA scholars earned an advanced (Level 4) score in math – approximately double the rate of NYC students who simply passed.
- At SA Bed-Stuy 1, where 95% of scholars are African American or Hispanic, the math pass rate was 98%, with 80% receiving an advanced, Level 4 score. The ELA pass rate was 81%.

- At SA Upper West – one of the city’s most diverse schools—100% of scholars passed the math exam. The test takers are 34% white, 23% multi-racial, 14% African American, 24% Hispanic, and 5% Asian.
- SA 8th grade scholars – who were 1st graders when the network’s first school opened in 2006 – excelled on both exams: 97% passed math and 94% passed ELA – more than triple the city average for 8th graders (30%).
- 93% of SA scholars who are eligible for free or reduced-price lunch (FRPL) passed the math exam, compared to 35% of all students citywide, and 62% of FRPL students passed the ELA exam, compared to 29% of all students citywide.
- Students with disabilities at SA were nearly twice as likely to pass math as New York State’s students without disabilities (82% vs. 41%).



Demonstrated Success in Closing the Achievement Gap for All Students

SA African American and Hispanic scholars represent 85% of our student population, and for the last six years (since they have been age-eligible to take the state tests), they have demonstrated that the achievement gap can be reversed. On last year's exams, African American and Hispanic scholars at SA significantly outperformed white and Asian students citywide in both math and ELA, effectively flipping the achievement gap.

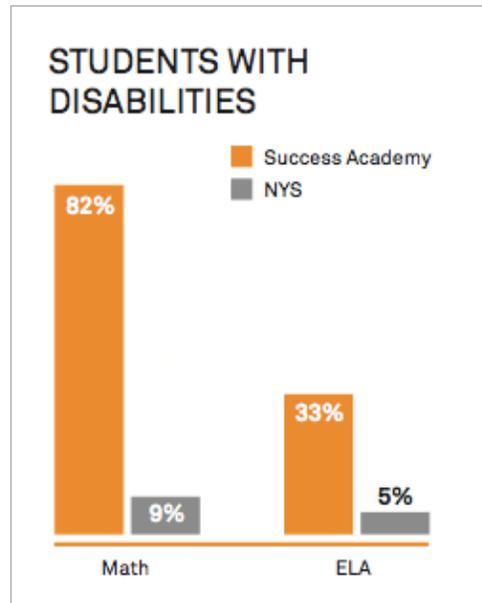
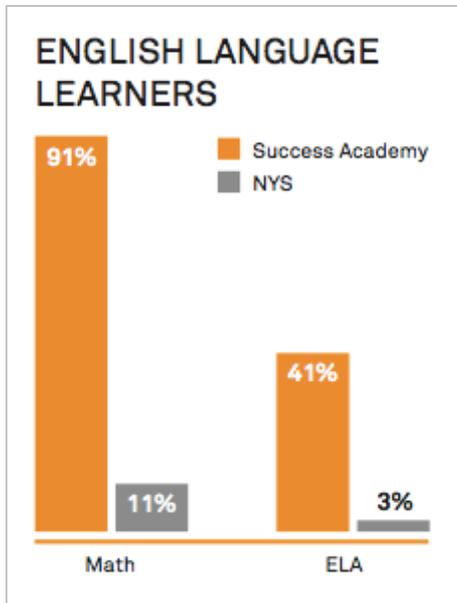


SA is deeply committed to serving children with disabilities. About 15% of SA students are current or former special needs students, and SA devotes considerable resources to serving them: hiring special education teachers and therapists, offering Integrated Co-Teaching (ICT) classes in most grades, and in schools where the DOE provides sufficient space, providing 12:1:1 (12 students, two adults) services. These students do extremely well in our schools, outperforming New York City special education students overall by 73 percentage points in math and 28 percentage points in reading on the most recent state exams.

SA is far more effective than the NYC DOE at helping students with disabilities progress academically and re-join their non-disabled peers. This year, SA mainstreamed 10.8% of scholars who had an Individualized Education Programs (IEP) at some point during the 2014-15 school year. By comparison, according to the most recent data available (2011-12 school year), the city's district schools declassified only 0.6% of students with disabilities. In 2014-15, SA had five 12:1:1 classes at three SA schools, and approximately 81 ICT classes across 28 schools.

SA is equally committed to serving English Language Learners – current or former ELL students make up 8% of the student body. Last year, 34% of SA's ELL students achieved a level of English fluency and literacy to graduate to general education status. At SA, most ELL students become proficient in English within three years, compared with five years at New York City district schools.

On the 2014 state tests, SA ELLs were nearly eight times as likely to pass math and 14 times more likely to pass ELA, and SA special education students were more than nine times more likely to pass math and more than six times as likely to pass ELA. Further, SA ELLs and students with disabilities outperformed students who have never been ELLs across the state by 53 percentage points in math and 8 percentage points in ELA. SA students with disabilities outperformed students without disabilities across the state by 41 percentage points in math and 4 percentage points in ELA.



Attendance and Retention

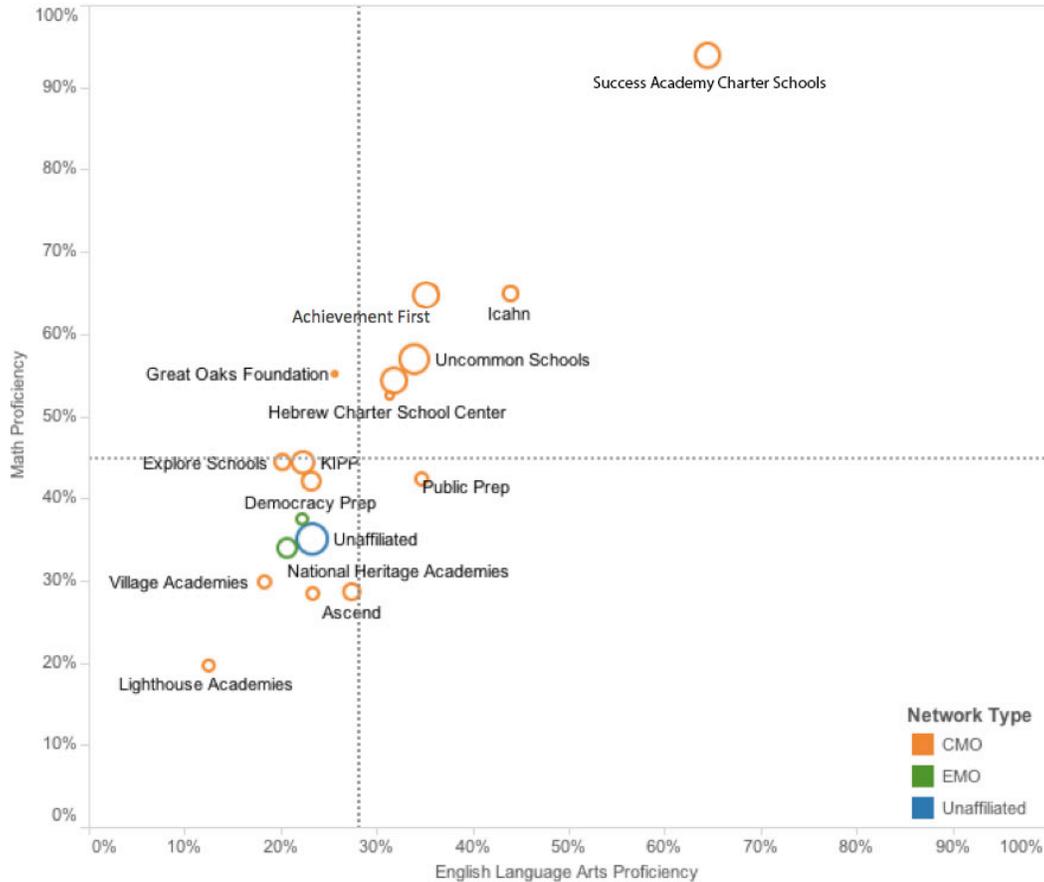
At SA, every minute of instruction counts. SA stresses the importance of students getting to school on time to parents, and our schools rarely close due to weather. If the NYC subways and buses are open, so are our schools. Collectively, SA schools have an average annual attendance rate of 97%. Principals and staff make an extra effort to help scholars with low attendance. This includes providing wake up calls and, in extreme family situations, personally escorting students to school. See Appendix H for multi-year attendance data by school.

SA strives to educate and retain every scholar who walks through our doors. Our annual retention rate of 89%, which has been consistent for many years, is higher than the city average (86%) and that of co-located district schools (79%). SA schools retain students with disabilities (88%) and ELLs (91%) at equally high levels. See Appendix H for multi-year retention data by school.

Evidence that Success Academy is New York City’s top performing CMO

SA’s academic results also stand out among charter schools in New York City and across the state. Only a few charter schools outperformed district schools, and among those, SA dominated. The graph below charts math and ELA proficiency rates based on 2014 New York State exams.

How Success Academy Compares to Other New York City Charter Schools



SA’s extraordinary student achievement results have led local educators as well as those from across the country to seek our advice on curriculum and teaching best practices. SA has routinely shared its expertise and collaborated with other educators such as principals from the Houston Independent School District. The volume of requests increases each year. This past year, SA hosted more than 650 “Ed Partners” from 133 different organizations for tours and workshops, including KIPP, Achievement First, Uncommon Schools, NYC DOE, Ascend,

Explore, and Teach For America. Some conferences were co-hosted by organizations such as the Charter School Growth Fund and New York City Collaborates and focused on topics including special education, conceptual math, middle school, and literacy.

Response from Communities

Prior to opening a new school, SA researches high-need areas and conducts extensive outreach in the surrounding neighborhood to make sure all families are aware of the excellent educational options available at our schools.

SA schools are located in some of the most educationally disadvantaged school districts in the city, where demand for high quality schools is strong. For the 2015-2016 school year, SA schools received more than 22,000 unique applications for fewer than 2,300 open seats. This demand extends across all five NYC boroughs. This year, SA received applications from more than 2,800 residents of the Upper West Side (Community School District 3) for its 109 open seats. In the Bronx, SA received 13 applications for every open seat, and in 11 of the city's districts, at least 20% of the incoming kindergarten population of district schools applied to Success Academy. This level of demand exists even in districts where SA has not yet opened a school: in CSD 11 in the Bronx, 1,101 families applied, and in CSD 10, also in the Bronx, there were 1,062 applications.

SA has recently been granted 14 new charters by the Charter Schools Institute of State University of New York, identifying Community School Districts in Manhattan, the Bronx, Brooklyn, and Queens, where there are few or no high-quality schools and/or enormous racial achievement gaps. New SA elementary school locations have been granted in the Bronx: CSD 9; Brooklyn: CSD 22 (Bergen Beach), CSD 23 (Brownsville), CSD 18 (Canarsie), CSD 17 (Crown Heights), CSD 13 (Greenpoint), CSD 15 (Sunset Park), CSD 14 (Williamsburg); Queens: CSD

30 (Astoria), CSD 24 (Long Island City), CSD 27 (Far Rockaway/Howard Beach), and CSD 28 (Jamaica); Manhattan: CSD 2 (Lower/Mid Manhattan), CSD 3 (UWS Manhattan).

Compliance

Finally, SA schools must and do comply with all applicable laws including Title VI of the Federal Civil Rights Act of 1964, the Equal Educational Opportunities Act of 1974, “No Child Left Behind,” IDEA, and federal case law to ensure all students are given an equal opportunity to attend SA’s high-performing public charter schools. At this time, SA does not request any waivers of Federal statutory or regulatory provisions. No SA school has had any significant compliance issues or violations within the past three years. This includes any compliance issues in the areas of student safety, financial management, and statutory or regulatory compliance. With its outreach and programming, SA is well positioned and prepared to enable the proposed and expanded schools to meet their commitment to serving educationally disadvantaged students

ABSOLUTE PRIORITY #2 LOW INCOME DEMOGRAPHIC

Assisting Educationally Disadvantaged Students

After initially concentrating its first cluster of schools in Harlem, SA has opened schools in neighborhoods throughout the city. When considering future sites, SA looks for public school buildings that are underutilized and areas that have consistently poor academic track records – where there is strong demand for educational options. For example, SA has four schools in the South Bronx and two in Bedford-Stuyvesant, Brooklyn; both areas have few high-quality schools.

In New York City, the poorest neighborhoods are also the ones with the worst schools. The majority of SA schools are located in the highest poverty areas of the city, where, according to the US Census Bureau, more than 42% of residents live below the poverty level. Only seven

SA schools are located in low-poverty areas, and all schools, regardless of location, serve high poverty students – although the new high school is located in midtown Manhattan, it currently serves children who live in the Bronx and Harlem. For a map of SA schools indicating poverty levels by neighborhood, see the Appendix H.

Across New York City, about 75% of all students receive free or reduced price lunch. (The income threshold to qualify for free lunch in New York City is about \$30,000 a year for a family of four.) Also across all SA schools, 75% of students are eligible for free or reduced price lunch. For specific FRPL rates for each individual school, see Appendix H.

COMPETITIVE PREFERENCE PRIORITY #2: PROMOTING DIVERSITY

A variety of outreach efforts ensure that every family within a SA school community is aware that their child has the option to apply. SA actively reaches out to parents of children who may be categorized as students with disabilities, ELLs, students from different racial and ethnic groups, and/or economically disadvantaged students through the use of a variety of methods, including, but not limited to:

- Mailings and bilingual distributions to residents of the school’s community district, including residents in low-income and mixed-income communities
- Bilingual flyers dropped in public housing complexes, supermarkets, preschools, and community centers
- Outreach materials (including bilingual letters and materials) posted in local newspapers, supermarkets, preschools, community centers, bus stop shelters advertising, and hanging posters in local businesses
- Tours of existing SA schools
- Information sessions hosted at public and private venues frequented by families of young

children, including daycare and nursery schools

SA seeks to attract *all* students, including special education students, by directing outreach and other recruitment efforts at a broad range of neighborhoods, preschools, and community programs that serve both special education and non-special education students. SA's most recent application was available in Spanish, Chinese, Russian, and French as well as English.

SA makes every effort to make all families feel welcome. Detailed plans for serving students with special needs are quickly set up upon enrollment and carried out by skilled special education staff to serve this population. SA also provides scholars who are struggling with supports that include: tutoring before, during and after school, practice groups, additional homework, and special education services for those who need it.

SA has also achieved extraordinary results for ELLs through its highly successful English language immersion model. Teachers receive extensive professional development training in literacy and math that supports the identification of possible ELLs and provides strategies to support them within the curriculum, including audio books or books in the family's first language. Last school year, 34 languages other than English were spoken in the homes of our scholars. See Appendix H for a list of languages.

For scholars who are soaring or struggling in one or more content areas, teachers and the principal have the flexibility to move scholars to a content lesson within a different grade level. For instance, if a scholar is reading at several grade levels beyond his or her peers, that child can join the next grade's Shared Text or Guided Reading lesson. The same applies for scholars who would benefit from review of concepts learned in the previous grade. This practice ensures that principals and teachers can remain maximally responsive to scholars' needs—every child is able

to advance without being overwhelmed or bored. Teachers and the principal are very deliberate about scholar placement, ensuring each class has a range of academic ability.

SA's strong commitment to ensuring that all children learn at exceptionally high levels is demonstrated by its significant special education support systems. All schools have special education teams in place from the time of their opening. The SA special education team works closely with the New York City Department of Education ("NYCDOE"), which is the LEA for SA schools for the purpose of special education in New York State. Together, they provide services under the Individuals with Disabilities Education Act ("IDEA") and New York Education Law § 2853(4).⁸ The NYCDOE creates regionally based Committees on Special Education ("CSEs").

SA special education staff work closely with personnel in their regionally based CSE to ensure that scholars with Individualized Education Programs ("IEPs") receive their mandated services in compliance with the IDEA, and that scholars in need of additional support receive IEPs that mandate appropriate services and programs. The SA special education team oversees scheduling of all IEP meetings and requests these meetings with their CSE teams to conduct annual, triennial, and re-evaluation IEP meetings as legally required.

SA schools employ a rigorous Response to Intervention ("RtI") process, whereby scholars who demonstrate a need for additional academic, social, or emotional support receive appropriate, targeted interventions to support them in achieving positive academic gains. Through RtI, SA is able to identify scholars in need of additional support and avoid over-referral of scholars for IEPs. The RtI process is tracked closely by the school's Education Manager to

⁸ Among other provisions, New York Education Law § 2853(4) states that "special education programs and services shall be provided to students with a disability attending a charter school in accordance with the individualized education program recommended by the committee or subcommittee on special education of the student's school district of residence." All SA schools are located in New York City, where the NYCDOE is the school district of residence.

ensure support and tracking of student progress. At weekly RtI meetings, faculty and leaders meet to analyze individual student data and develop targeted interventions to most effectively address student needs. Through the RtI process, teachers develop student intervention plans that, along with students' IEPs, ensure that students are on track to meet SA's ambitious academic goals.

If a scholar continues to struggle academically, he or she will undergo evaluation by an SA school psychologist, and, as needed, by SA occupational therapists and speech and language therapists, to accurately assess the child's individual needs.⁹ SA will then initiate the referral process with their CSE to determine if special education services are required to provide the scholar with the supports needed.

Under New York State law, the Local Education Agency (LEA) provides programs and services to charter schools in the same manner as it serves students with disabilities in other public schools in the school district.¹⁰ This includes providing supplementary and related services on site to the extent it has such a policy or practice for other public schools in the district.¹¹ Additionally, the LEA distributes funds to charter schools in accordance with IDEA, Section 613(a)(5), including proportional distribution according to enrollment.¹² Finally, because the NYCDOE is the LEA for SA schools for the purpose of special education in New York State, section 613(e)(1)(b) of the IDEA is inapplicable.

SA also seeks out areas where it is possible to create mixed-income and racially integrated school communities, because diverse schools provide a greater opportunity for

⁹ Some scholars are evaluated by the NYCDOE or by independent external evaluations under unique circumstances, including scholars who are English Language Learners ("ELLs") requiring evaluations by bilingually certified professionals, and scholars in need of medical evaluations such as psychiatric or neuro-psychological assessments.

¹⁰ N.Y. Educ. L. § 2853(4).

¹¹ *Id.*

¹² N.Y. Educ. L. § 2856.

students to learn from each other and can invigorate and strengthen urban neighborhoods by bringing community members together. Last year, five SA schools were recognized for their diversity by the National Coalition of Diverse Charter Schools: SA Upper West, SA Cobble Hill, SA Williamsburg, SA Union Square, and SA Hell’s Kitchen. Two new SA schools also qualify as diverse (3 or more racial groups with populations of at least 10%). The majority of NYC public schools do not reflect the diversity of the city. Even in community school districts that have a diverse student population, racial segregation in schools is common. SA strongly believes in integrated schools where all populations, regardless of socioeconomic status or race, are performing at the highest academic levels.

Success Academy — Diverse Schools 2014-15					
School Name	% Asian	% Black	% Hispanic	% White	FRPL
SA Cobble Hill	6.1%	32.9%	26.8%	29.9%	44%
SA Williamsburg	2.0%	30.3%	55.2%	9.8%	68%
SA Bensonhurst	9.2%	16.3%	19.6%	54.3%	54%
SA Hell's Kitchen	13.7%	14.2%	53.4%	15.5%	63%
SA Union Square	16.0%	20.2%	21.4%	37.4%	36%
SA Washington Heights	0.6%	15.4%	72.0%	10.9%	77%
SA Upper West	7.3%	15.3%	31.4%	41.9%	34%

SA also participates in the federal School Breakfast Program and the National School Lunch Program, which offers free or reduced meals to all students who meet eligibility requirements. The schools’ staff works hard to help ensure that challenges in the home do not impact student learning or prevent students from receiving a stellar education.

INVITATIONAL PRIORITY RIGOROUS EVALUATION

MDRC is currently conducting an independent, rigorous, lottery-based (i.e. randomized controlled trial) analysis of the impact of SA schools on students’ academic achievement. The

research is led by Dr. Howard Bloom (Co-PI, MDRC’s Chief Social Scientist) and Rebecca Unterman (PI, K-12 Policy Area Research Associate).

Research Design

The study is a randomized control trial designed to test the impact of SA schools on three key student outcomes: attendance, in-school behavior, and performance on state standardized exams. As part of this research study, MDRC has used retrospective SA lottery data to identify sets of students that randomly won and randomly lost the opportunity to attend a SA school. After identifying these students, MDRC sent these lottery files to the New York City Department of Education (NYC DOE), which matched them to each student’s school records data. MDRC has received these data from the NYC DOE and is currently processing these data.

This project began in November 2014; data are currently being collected and analyzed. Once the data are processed, MDRC will employ an intent-to-treat model to estimate the effect of winning an opportunity to attend a Success Academy school on students’ future outcomes. This approach is in line with What Works Clearinghouse (WWC) standards and is based on a design applied under similar circumstances by the lead researchers in “Sustained Progress: New Findings about the Effectiveness and Operation of Small Public High Schools of Choice in New York City” which was rated “Meets WWC evidence standards without reservations” by the WWC.

In addition, researchers will follow MDRC practice and WWC guidelines to 1) address any issues of missing data on student characteristics and outcomes, 2) include student characteristics in the impact model as covariates, 3) specify the statistical model appropriate to take account of the clustering of students within schools, and 4) focus the analysis on key outcomes specified in advance to avoid “fishing” in the data.

Currently, MDRC's longitudinal study sample includes four cohorts of over 4,000 students entering grades K-3 from the 2010-11 school year through the 2013-14 school year. It follows students for up to four years, with the oldest students reaching sixth grade.¹³ MDRC plans for its lottery-based evaluation to grow over time as new student cohorts are added to the sample and as the follow-up period lengthens. With this larger sample, MDRC will also investigate the factors that drive SA impacts and whether the impacts of Success Academy differ across specific student characteristics (such as English Language Learners and students with special needs) and school characteristics (such as schools located in particular geographic areas and schools with particular teacher and school leader characteristics). Especially relevant to the expansion and replication grant goals, as additional student cohorts are added to the sample, the experimental framework will be used to investigate whether newer SA schools produce impacts similar to the older, original Success Academy schools.

This work will have (at least) a few products. First, MDRC will report findings internally to Success Academy and then they will present them publically in a policy brief or short research report. As in all its publications, MDRC will aim to present the findings concisely in nontechnical language and discuss their implications for policy and practice. MDRC's final goal is to submit the findings in a paper to a peer-reviewed journal.

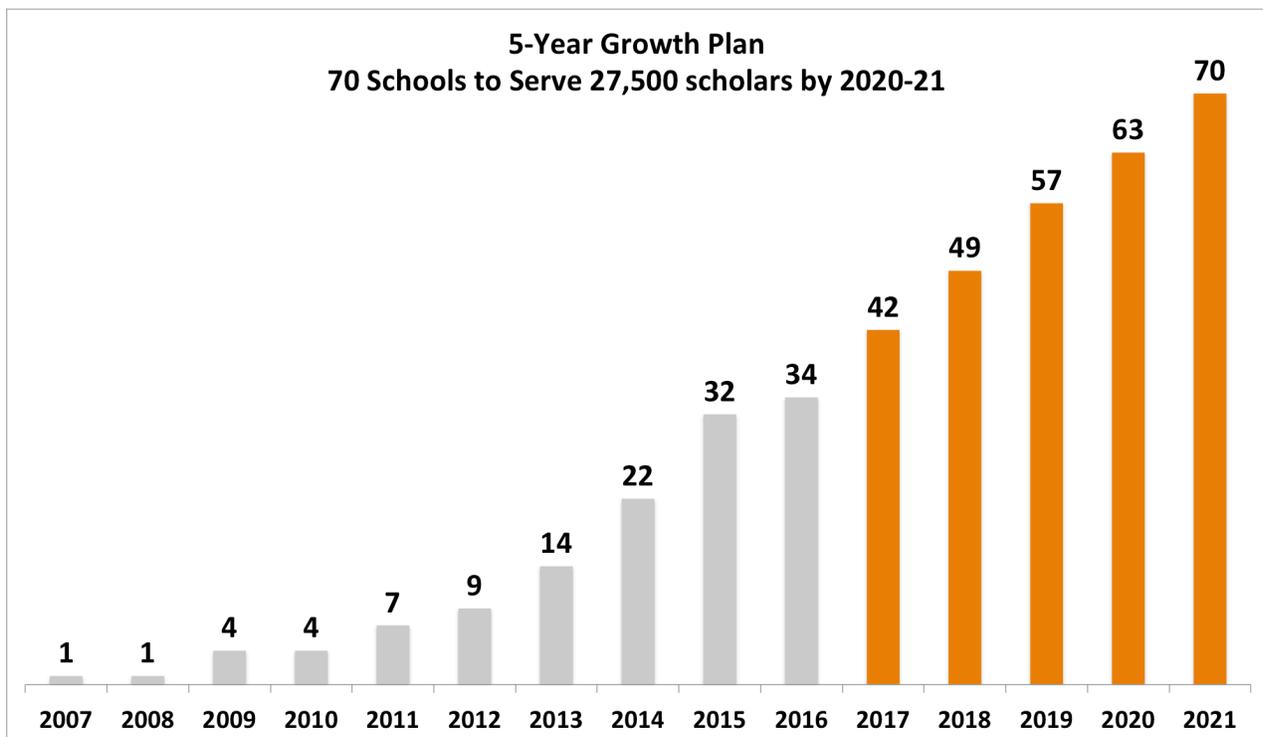
QUALITY OF PROJECT DESIGN

Plan for Replication and Expansion

Over the next five years, SA will open 22 additional elementary schools, 11 more middle schools, and three more high schools. By 2021, a total of 70 SA schools will enroll more than

¹³ A common way to convey a study's statistical power is through the minimum detectable effect size (MDES). Formally, the MDES is the smallest true program impact (scaled as an effect size) that can be detected with a reasonable degree of power for a given level of statistical significance. With an average of roughly 250 students per random assignment block and fourteen blocks, the MDES for the impact of Success Academy on reading and math test scores at the end of third-grade will be approximately 0.075 standard deviations at an alpha-level of 0.05.

27,500 students – comparable to the enrollment of the St. Louis school district. Few other CMOs have the infrastructure to scale at this rapid pace – SA has invested in the systems and talent that make this ambitious plan possible. If awarded, this CSP grant will help SA to increase the scale of its educational effectiveness: to prepare students for rigorous high school and college-level coursework, with a focus on STEM-readiness. Specifically, this grant will fund the replication of eight new elementary schools and the expansion of two middle schools and four high schools (for a total of 14 schools).



In October 2014, SA was granted 14 new charters by the Charter Schools Institute of State University of New York (CSI-SUNY), identifying Community School Districts (CSDs) in Manhattan, the Bronx, Brooklyn, and Queens, where there are few or no high-quality schools and/or enormous racial achievement gaps. Nine of these 14 new elementary schools have been awarded funding from earlier CSP grants; if awarded, the 2015 grant will fund, over the next five years, the remaining five schools with approved charters and three additional elementary schools,

whose charters SA will apply for well in advance of opening. While these schools have been approved for a specific CSD, the location of each school in an existing public school building is subject to New York City’s Department of Education co-location and placement approval. SA may intend on opening in a specific district, but the city has discretionary approval to relocate our school to other districts within the borough.

This project will also result in the expansion of three elementary schools to create two middle schools: one will serve students from two Brooklyn elementary schools –SA Fort Greene and SA Crown Heights – and the other will be an expansion of SA Bronx 3. In addition, it will fund the expansion of our first high school, which opened in 2014, from 9th through 12th grade, and it will allow us to add three other high schools, serving students from Harlem, the Bronx, the Upper West Side, and Bedford-Stuyvesant. See Appendix H for schedule and proposed locations of school openings and expansions.

Core Elements of Project Design

SA has tactically developed specific school designs for its elementary, middle, and high schools. Maintaining high standards for academic excellence and a strong culture of engagement and commitment are essential to SA’s designs, and with each additional school, systems and procedures, curricula and professional development are continuously improved. Every year SA takes a close look at each of the three school designs with a goal of making them even stronger. At the heart of SA’s exceptional results are a few core elements of our replicable design.

School Culture

At all SA schools, respect for others and proper behavior are explicitly taught, modeled, expected, and rewarded. Values and strong moral character are a part of our daily instruction, starting in pre-K. There is a school-wide emphasis on setting goals and making a strong effort, of

“going Beyond Z,” and college graduation is an expectation for all students. In fact, our classrooms are named using the year the scholars will graduate from college. Every classroom is adorned with a college corner with banners and pictures of famous alumni from the teacher’s alma mater complete with photographs of the teacher graduating from college.

SA believes that to be truly successful, schools must be interesting and engaging to children, and as obvious as that might be it, many educators don’t value that engagement enough. SA knows that in order for scholars to fall in love with learning, to actively listen and participate in their own education, they must not be bored. Teachers differentiate learning, doubling up resources and support for struggling students, finding new challenges for those who are soaring. “Joyful rigor” is our mantra and it drives SA’s high attendance data as well as academic results. We believe that doing is at the core of learning. Therefore, scholars receive only 80 minutes of direct instruction every day. The rest of the day is devoted to small group instruction and hands-on learning. Scholars are taught to do the thinking work.

The schools’ core values spell the word “ACTION,” and students are encouraged to show and are rewarded for demonstrating these values:

- **Agency:** Every member of our community takes ownership! We take responsibility for making sure that our schools and scholars are fulfilling the highest possible standards across the board.
- **Curiosity:** Our schools are fueled by wonder. Our scholars are encouraged to ask about the world and use their newfound knowledge to ask more questions. Teachers explore new tactics to refine their craft and together with staff continuously ask, “What if?”
- **Try and Try:** We don't expect success to come easily. Our entire community understands that tackling tough challenges takes elbow grease, grit, and perseverance.
- **Integrity:** Our community is based on honesty and professionalism. We are open and

transparent.

- ***Others:*** We never forget to look out for and be aware of each other. From helping someone else on a project to simply smiling in the hallway, we build a community of mutual respect and support.
- ***No Shortcuts:*** Learning takes time and effort.

Parent Involvement

We believe deeply in building a school community that is focused on being in school each and every day, arriving to school on time, dressed in uniform with completed homework and reading logs in hand. Every person in the building is committed to these core tenets. Yet we know that it would be hubris to believe we can eliminate an achievement gap on our own: we need parents.

Before scholars begin their first day at Success Academy, our enrollment team has several conversations with families so they are fully informed about what they can expect. We stress our own commitment to their scholars and our expectation that they too will be fully involved in their scholar's education. This partnership goes both ways—we need to inform and engage parents each step of the way and we need parents to urge their scholars to achieve excellence. Parents have phone numbers of all school staff, and staff are required to get back to parents within 24 hours. In turn, we ask parents to return our calls within 24 hours. Schools have an open door policy – parents may visit any time by simply checking in at the Main Office.

Every school periodically assesses the effectiveness of its own parent and community involvement policies and related activities to evaluate whether it should provide additional coordination, technical assistance, or support. In response to feedback in a recent parent survey, SA began sharing tips and educational resources designed by our subject matter experts via social media to help parents reinforce and supplement what their children learn in the classroom.

This year we will be launching a Parent Portal via our School Management System. Parents will be able to track their scholar's academic progress, sign them up for extracurricular activities, complete permission slips and participate in the school community in additional ways.

To keep parents engaged in the school community, our operations team organizes roughly 24 family events at each school throughout the year: Curriculum Night, spelling bees, math bees, chess and debate tournaments, performing arts showcases, and project-based learning "museums," creative collaborations by scholars as the culmination of a special unit. Parental involvement begins in April right after the admissions lottery. Each accepted child and his/her family are invited to attend at least four different school events as part of an extensive summer welcoming process. Additionally, at the beginning of every school year, SA schools host school-wide meetings for parents to share ways to stay involved and actively provide input to the school.

Finding authentic opportunities for parents to be invested in their scholars' schooling is critical to SA success. SA strives to treat parents as highly valued customers and continuously thinks about parent convenience and satisfaction. SA parents responding to the NYC DOE's 2014 School Survey (<http://schools.nyc.gov/Accountability/tools/survey/default.htm>) are overwhelmingly happy with their experiences at Success Academy:

- 95% agree or strongly agree that "My child's school provides my child with extra help when he or she needs it."
- 98% agree or strongly agree that "My child's school helps keep my child on track for college, career and success in life after high school."
- 98% are satisfied or very satisfied with the education their children have received during the school year.

- 97% are satisfied or very satisfied with the response they get when they contact their children’s school.
- 96% would recommend their child’s Success Academy school to other parents.
- 96% (of Success Academy parent respondents with children who have disabilities) agreed or strongly agreed, “My child’s school works to achieve the goals on my child’s [Individualized Education Program].”

Extended School Day

SA scholars have significantly more instruction time than students at traditional public schools due to a longer instructional day. As the chart below shows, scholars average about 7 additional hours of instruction a week than New York City district students receive, which is the equivalent of 55 extra days a year. By the time a scholar completes eighth grade he or she has the equivalent of 2.75 additional years of school; over the course of 13 years (K-12), the additional instructional time adds up to four years.

Grades	Doors Open	Arrival	Dismissal
Monday, Tuesday, Thursday and Friday			
K	7:15 AM	7:45 AM	4:00 PM
Grade 1-4	7:15 AM	7:45 AM	4:30 PM
Grades 5-8	7:45 AM	8:00 AM	5:15 PM
Grades 9-12	7:15 AM	8:15 AM	5:30 PM
Wednesday			
K	7:15 AM	7:45 AM	12:30 PM
Grade 1-4	7:15 AM	7:45 AM	12:30 PM
Grades 5-8	7:45 AM	8:00 AM	1:30 PM
Grades 9-12	7:15 AM	8:15 AM	1:15 PM

Scholars are dismissed early one day a week, and this time is devoted to professional development for teachers working with their principals. The other four days vary in length,

depending on grade. In addition to the time spent per subject, students have 30 minutes for lunch as well as time for recess, assemblies and field studies. See Appendix H for time spent by subject.

Four Strategic Components of Project Design

Although many CMOs are scaling their operations, SA is set apart in several ways and has significantly invested in developing four key areas: 1) a replicable school model built on a balanced and sequenced pre-K-12 curriculum grounded in preparing scholars for college-level curricula; 2) a strong central office to provide all operations associated with starting up a new school, as well as the instructional management required to maintain academic excellence; 3) a deep commitment to and expertise in the training and development of school leaders and faculty; and 4) a technology backbone that supports the network's operations and enables us to capture academic data essentially in real time so that we can quickly and effectively respond.

Replicable Curriculum

SA has developed a core team of subject specialists who have written much of the curriculum we use in our schools. In elementary school, we want scholars to fall in love with school—from finding a love of stories and books to working through a challenging math problem or hypothesizing on a science experiment; from articulating a knowing response to a question to collaborating on a class project; from building an epic block structure to learning to kick a soccer ball; from planning a checkmate to finding inner artistic talents.

In our middle school design, we have created a program that gives scholars the ability to delve deeper into their talents and passions and draw on the foundations laid in elementary school. Scholars choose two electives each semester and are pushed in their critical thinking and reasoning. They add computer programming, debate and typing into their skill set, analyze more

challenging texts, push their mathematical thinking, delve into history, and further build out their science knowledge—all while getting greater independence and learning to navigate middle school emotions.

In high school, we prepare our scholars for college. Again, building from the skills and knowledge scholars learn in middle school, our scholars are further challenged academically, while learning to manage more independence and take responsibility for their own academics. Our aim is to prepare them for college and the freedom associated with being “on your own.”

The SA curriculum is tailored to maximize each scholar’s learning. The math curriculum helps scholars develop theoretical, conceptual, and practical mathematical understandings. To teach reading, writing, and critical thinking, SA developed its own THINK Literacy, which focuses on extended periods of dedicated reading and writing. Students learn to express their ideas clearly and precisely and are able to construct compelling written arguments. SA schools also teach science five days a week, beginning in kindergarten. SA believes that young children are much more capable of problem solving when they are challenged to think.

SA provides early exposure to a variety of subjects and activities with a goal of igniting a passion that will lead to more focused study later on and increasing a student’s competitive advantage in college admissions. The field studies program is a vital part of the SA school design as it connects classroom curriculum to real world experiences, infuses additional joy into the school day, and exposes students to cultural experiences and institutions that they may not otherwise access. Across our 32 schools scholars participated in a total of 1,586 field studies during the past school year. Not all field studies are off campus; last year, journalist George Stephanopoulos, artist and designer Maira Kalman, and chess grandmaster Judit Polgar visited SA schools, as did jugglers, artists and musicians.

As early as kindergarten, students learn about a variety of subjects in project-based learning units: supermarkets, birds, the Brooklyn Bridge, their own neighborhoods, and the New York City subway system. Through hands-on exploration with their classes and on their own with parents, they learn to gather information, gain communication skills, use their imaginations, and apply knowledge learned from a variety of sources. Exploring a topic in such depth brings history to life and allows scholars to develop their own deep insights. For instance, during Brooklyn Bridge Project Based Learning, second grade scholars conduct experiments to learn the engineering principles behind bridge construction, read about Emily Roebling, the project's chief engineer, and visit the bridge to record their own observations and interview pedestrians.

Elementary School

SA's THINK Literacy curriculum was developed by in-house specialists and is designed to prepare students for any reading or writing challenge they will encounter throughout their education. The program is built upon the concept that children should love reading and discussing their ideas. Uniquely, each of the elementary school classrooms has its own library, containing as many as 2,500 titles (depending on grade level), equally balanced in terms of fiction and non-fiction. SA is very selective in the quality of children's literature because it is key to engaging young readers. Through the various parts of THINK Literacy, students learn to express their ideas clearly and precisely and learn how to construct compelling arguments.

SA also developed its own math program, which focuses on building students' problem-solving skills, conceptual understanding, computational fluency, and assessment preparedness. Instructional leaders use Cognitive Guided Instruction (CGI) to hone scholars' problem-solving abilities. This approach allows for differentiation of students according to their pace of learning, whether struggling or racing ahead. The math program is designed to orient

students toward a college-track mathematics curriculum that includes algebra by the eighth grade. The goal of the math program is to benchmark students not against its U.S. counterparts, but rather against more mathematically advanced countries. These are the students they will compete against for spots in both college and the workforce.

The science program at SA is unique, offering discovery-based science five days a week, starting in kindergarten. No other school in the country has such a robust science curriculum for kindergarteners. Our laboratory-based science curriculum, developed by in-house experts, provides thoughtfully designed and sequenced content. It encourages all scholars to become knowledgeable and literate in the history of science, scientific understanding, and the scientific skills that are so important as they observe, question, and explore the natural world. We incorporate the three main disciplines of science—life, physical and earth—into every grade. That means that on any given day, a scholar could be dissecting an animal, collecting data on plant growth, learning about aerodynamics, or conducting scratch tests to identify minerals. By the end of each school year, students will have each completed about 150 experiments. SA is committed to implementing a strong Science, Technology, Engineering and Mathematics (STEM) based science program and is leading this charge by aligning its curriculum with the Next Generation Science Standards (NGSS). The result of SA's science focus is astounding – 100% of our fourth and eighth grade scholars passed the most recent New York State Science Exam, with 99% of the 723 fourth graders and 84% of eighth graders earning an advanced rating, the highest possible score.

Although SA emphasizes rigorous instruction in literacy, math, and science, there is a commitment to ensuring that these core academic subjects do not crowd out other important

subjects and activities. SA curriculum also includes chess, visual arts, music, dance, typing, debate, geography, computer programming, and team sports.

Middle School

Building on key principles of elementary schools, SA middle schools deliver a demanding, engaging curriculum. Using the Common Core and a college preparatory curriculum as the foundation, SA's focus is on inquiry-based learning, critical thinking, deep subject mastery and excellent teaching.

Our literacy program feeds scholars' love for books by emphasizing thoughtful reading and analysis of the latest in exceptional literature as well as classics. Guided inquiry and discussion allow scholars to develop their ideas and express themselves clearly and creatively. A classical approach to grammar and vocabulary—including diagramming sentences and identifying Latin root words—gives scholars the tools to read and write at increasingly advanced levels.

We challenge middle school scholars to be great thinkers and mathematicians through a focused study of conceptual math. Scholars gain an increased understanding of base 10 operations, proportional relationships, and geometric properties. Scholars can also pursue a math honors track and participate in math club (about a third of all middle school scholars are in a math club), Math Olympiads, and MATHCOUNTS competitions.

In science, scholars explore the fundamentals of earth, life, and physical sciences. They gain an understanding of the essential elements of experimental design, how to write a lab report, and how to interpret data to draw meaningful conclusions.

Beginning in fifth grade, scholars embark on an in-depth study of history, playing the role of historians by analyzing the causes and effects of major world events. Our middle school

history sequence integrates social science, politics, and anthropology to provide a complete and nuanced understanding of our past.

SA recently modified its middle school design to provide its pre-adolescent scholars with more choice and opportunity to select elective courses that compliment their academic curriculum. Because preadolescence is a transitional period from concrete thinking to abstract thinking (when active learning matters most), SA expanded the variety and number of electives – not only to teach, but to serve as a critical outlet for creativity, self-awareness, independence and experiential learning. Electives, taught by core teachers, help scholars to think and look at the world differently, problem solve and develop an appreciation for a hobby or skill they can enjoy throughout life. Importantly, these are opportunities that scholars will select for themselves.

In our school advisory program (called Action Now), scholars learn about themselves and explore social issues, develop social and emotional competencies and life skills, such as relationships, sex education, and digital citizenship. They also begin to take responsibility for their own learning by working on time management skills, organization, and goal-setting – they plan how to improve their academic performance and achieve their goals. Action Now meets at the beginning and end of each school day.

Homework is intended to reinforce what students are learning in class and to provide opportunities for self-directed study. Students need time outside of school to expand and reflect upon the groundwork laid during the school day. Homework for middle school scholars averages approximately 10 hours per week; for older grades, about 14 hours per week.

The curriculum and culture work in tandem to create coherence and integrity in scholars' academic experiences. Success Academy middle schools are dynamic communities of scholars, designed to foster in every young person resourcefulness and integrity, a sense of social

responsibility, and an appreciation of learning through an innovative and intellectually rigorous course of study.

High School

At the Success Academy High School for the Liberal Arts, which opened in August 2014, students study mathematics, science, computer science, history, literature/humanities, composition and rhetoric, sports and fitness, fine arts (visual arts, drama, music, dance, videography, and photography), speech and debate, and journalism. These core courses are required for graduation and are the backbone of the high school education. To dig deeper into subjects that interest them, students are able to choose from a variety of electives. Examples include: “The History of Mathematics,” “Introduction to Archaeology,” “Advanced Acting and Directing,” “African Art,” and “Design Thinking.” A senior thesis, required of all students, is an original written work on a topic of choice and an excellent preparation for the demands of college.

Classroom settings vary: discussion seminar, smart classroom, lecture hall, fab lab and fine arts studio. All classes invite dialogue and conversation and demand creativity and deep, independent thinking. Most textbooks and class materials will be on the student’s laptop, and students will submit assignments and take assessments online.

Honors Academy Scholars participate in many academic, social, and community-service activities that can help develop intellectual and leadership potential. Students may apply for admission to the highly selective Honors Academy during their sophomore year. Honors Scholars can enroll in special electives and sign up early for dual enrollment college courses. All Honors Scholars are expected to be highly motivated and willing to take a leadership role in the school.

The STEM Track Program– a hallmark of the SA high school design – focuses on science, technology, engineering, and mathematics. Students apply to this selective program of study during sophomore year. Each student completes a senior thesis in a STEM field along with completing an internship in applied sciences, mathematics, technology, or engineering. The use of digital technologies and 3-D computer programming is incorporated into many STEM courses, such as “Engineering and Entrepreneurship” and “Design Thinking for Applied Sciences.”

The high school “fab lab” consists of sophisticated computerized equipment and is a place where scholars can design and make just about anything they can imagine – using computers linked to advanced production machinery, such as laser-powered cutters and etchers and super 3-D printers that produce three-dimensional objects.

Computer science, required in the freshman year, is not only a series of core and elective courses, but teaches scholars practical coding skills. SA computer science classes emphasize programming and computational thinking, and teach skills that equip students to make web sites, apps, and web-based and discrete programs.

In the later years of high school, students may enroll in a college course and receive both high school and college credit. During the junior or senior year of high school students may receive credit for working part-time as an intern. SA will help in finding an internship in areas of interest such as business, science, computers, or fine arts.

The Action Now advisory program is the place where students can explore social issues, develop social and emotional competencies and life skills, and plan how to improve their academic performance and achieve their goals. An advisory group is made up of 12 to 15 students and their Action Now coach.

SA is intent on seeing its scholars to and through college within four years of high school graduation. To that end, scholars spend an hour a week in College Knowledge, which builds on the college focus that begins in elementary school with campus tours. Our oldest scholars are just entering tenth grade and will be working closely with a new director of academic achievement and college guidance to ensure they can take advantage of all the opportunities available to them. Our scholars will also graduate with significantly more course credits than their New York City peers.

GRADUATION REQUIREMENTS		
Required Coursework	Success Academy Credits	NYS Regents Credits
Science	4.0	3.0
Mathematics	4.0	3.0
History & Social Sciences	5.0	4.0
Literature & Rhetoric	7.0	4.0
Speech & Debate	0.5	0.0
Journalism	0.5	0.0
Second Language	0.0	1.0
Advisory/Health	1.0	1.0
Computer Science	2.0	0.0
Fine Arts	5.0	1.0
Sports, Fitness & Wellness	2.0	2.0
General Electives	4.0	3.0
Senior Thesis/Project	1.0	0.0
Internship	1.0	0.0
Community Service	1.0	0.0
Total	38	22

Strong Central Office

SA has opened 32 schools over the past nine years. With each additional school, the quality has also improved. Not only has SA scaled rapidly, but it has done so while also continuing to improve scholar outcomes. SA has been able to sustain high growth while maintaining excellent schools as a result of years of refining and improving our systems and processes. Key reasons why SA will be able to excel at scaling its project design:

- We have leveraged the empty seats in NYC school buildings, securing the necessary space in underutilized buildings and saving hundreds of millions of dollars in rent or build-out costs.
- We have developed an academic curriculum that produces dramatic student achievement for educationally at-risk students, including low-income, minority, special education, and English Language Learners.
- Our reputation is attractive to families—this past application session SA had more than 22,000 applications for the mere 2,300 available seats.
- We have a school financial model that ensures that an elementary school will be self-sustaining on local public dollars after three years (middle schools and high schools somewhat longer).
- We have the human resources team and hiring policies in place to recruit, interview, and hire all the faculty and staff needed for new and expanding schools.
- We have experienced facilities personnel who could renovate a school building for the first day of classes in just 30 business days.
- We have recruited and trained school leaders who are able to drive success in their schools.

- We have developed rigorous training programs and provide year-round professional development that gives teachers the curricular and classroom skills they need to be successful with all students – including students with special education needs and English language learners.
- We have built an extensive principal training program that starts at least a year before a principal opens a school. These training programs are the starting point for the Success Academy Education Institute.
- We have invested in the technology necessary to manage a large-scale operation. Instructionally and administratively, each Success Academy benefits from being part of a network of schools in one geographic neighborhood—New York City. Specifically:
 - School leaders can seek advice from colleagues implementing the same school model.
 - Teachers and principals are able to visit their peer schools where they can observe and learn from each other firsthand.
 - Student and teacher recruitment costs are shared across the network. Several staff positions are shared across the schools—a school that cannot afford a full-time dance or chess teacher can split the salary and benefits costs with other schools.

The school network also creates a web of accountability and an intellectual community where the systemic sharing of innovations and best practices forces each school to continuously improve. If SA notices that one of its schools located just a dozen blocks away is scoring higher on an assessment or has a higher daily attendance rate than another school, SA is able to investigate those successful strategies, and ultimately implement them across the network.

Our up-front investment in talent and centralized operations has paid off in SA's ability to scale while maintaining high quality. SA has been able to open and successfully run 32

schools and is on track to open two more schools in August 2015 and a further nine schools in August 2016. Yet, SA understands that managing *both* growth *and* quality requires fundamentally new ways of operating. There are two key areas where SA plans to focus its energy and investment because experience tells us that these are the bedrock for effective scaling: the training and development of our school leaders and teachers, as well as educators through the country, and using the latest in technology to make the management of our schools more effective, and efficient.

Professional Development – Success Academy Education Institute

SA’s expertise in curriculum, and leader and teacher training, has led to an extraordinary initiative currently under development: the Success Academy Education Institute. SA firmly believes – and its results demonstrate – that the key to student achievement is the intensive professional education it provides to its entire teaching force, a program that uniquely covers both content and pedagogy.

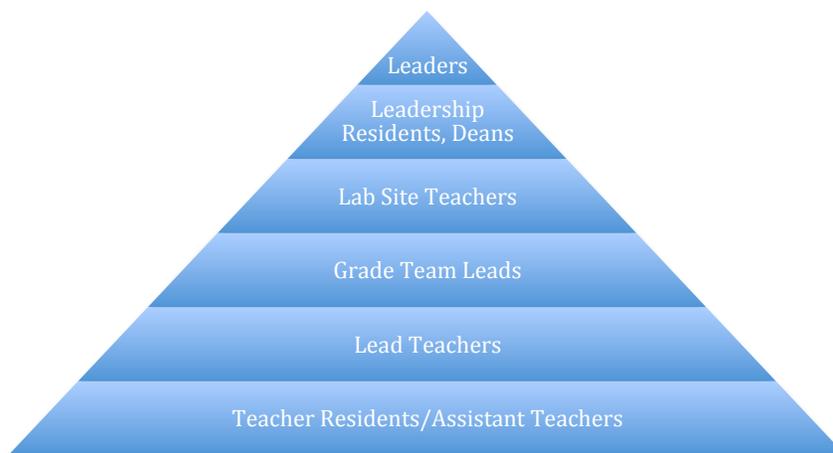
Research supports the assertion that leader and teacher quality is one of the biggest determinants of student achievement. A June 2014 study by the National Council on Teacher Quality¹⁴ detailed the failings of our country’s teacher-training programs: more than half of the 1,612 teacher-training programs surveyed received the lowest possible ranking – level 1, out of 4 levels. Less than 7% received the highest ranking of level 4. Lax admission standards, uneven curriculum, and poor or limited classroom training were chief criticisms. Many graduates not only lack teaching and classroom management skills; their subject area knowledge is severely limited.

The Success Academy Education Institute is designed to bring our professional

¹⁴ National Council on Teacher Quality, *2014 Teacher Prep Review*, available at http://www.nctq.org/dmsView/Teacher_Prep_Review_2014_Report

development program to scale, both to satisfy our own urgent needs for training teachers and principals and to meet external demand. To put this in perspective, for the 2016-17 academic year, SA will need to hire more than 700 new school faculty members. Every time we replicate or expand, this number will continue to grow. Given this scale, and SA's focus on world-class schooling and producing exceptional results, we need to train and develop a growing base of educators.

Through our nine years of experience in running schools, we have learned that the best teachers are those who studied and worked under an experienced lead teacher and the best school leaders are those who taught at SA and did their leader residency at a SA school. As such, SA prioritizes having educators enter as T-Fellows, where we train and develop them to be lead teachers; teachers who want to move into school leadership can become grade team leads; and those who want to stay in the classroom can become lab site teachers. For school leadership, we then promote and train our grade team leads to formally enter our leader residency program, which prepares them to ultimately lead an SA school. SA will only place principals who are promoted from our leader residency program.



This career progression serves two main objectives: it gives all faculty a clear sense of career advancement opportunities (which also promotes staff retention), and it ensures that our

teachers and leaders have a proven track record of success. Our practice of promoting from within also provides the bench strength necessary to move teachers and leaders at a moment's notice should an unexpected vacancy occur.

The Ed Institute is a *school for schoolers*. It educates our leaders and teachers exceptionally well and has increased our capacity to offer educators from across the country opportunities to learn and bring successful strategies back to their schools. The impact of this grant will extend far beyond Success Academy and benefit educators and scholars throughout the country.

Success Academy Ed Institute Projected Participants

Internal Participants					
	2015-16	2016-17	2017-18	2018-19	2019-20
Leaders	130	150	175	195	216
Teachers	1,200	1,400	1,600	1,800	2,000
Operations	325	335	345	355	365
Total	1,655	1,885	2,120	2,350	2,581

External In-Person Participants					
	2015-16	2016-17	2017-18	2018-19	2019-20
Leaders	—	—	35	39	43
Teachers	—	—	—	360	400
Operations	—	—	—	—	73
Total	—	—	35	399	516

External Online Participants					
	2015-16	2016-17	2017-18	2018-19	2019-20
Leaders	—	—	50	100	250
Teachers	—	—	100	200	500
Total	—	—	150	300	750

SA professional development emphasizes the importance of using student output to change teacher input. At the heart of teacher (and leader) preparation is the work that must go into studying scholar work to better understand where scholars are, and what moves the teacher (and leader) needs to make to improve academic outcomes for scholars.

On a practical level, the Ed Institute will be able to disseminate our curriculum, the training and development needed to teach excellently, videos of exceptional teaching, job aids to enforce concepts taught, and clear steps that need to be made. In the end, the Ed Institute will serve to develop teachers brand new in their careers, experienced teachers honing their skills and their teaching careers, and school and network leaders.

Because a significant portion of this training will be available online, educators will be able to learn at their convenience, and embedded assessment metrics will track whether participants are absorbing important lessons. A centralized catalog of lesson plans and training materials on the most frequently taught topics will provide consistency and prevent unnecessary rework at individual schools. By taking an initial assessment of each teacher's skill set and content mastery, this online learning system will also allow SA to target specific content to specific teachers, based on their knowledge deficits. Instructors' time can be focused on the critical face-to-face observation and feedback, and group training will be devoted to practicing skills, not just passive absorption of information.

At scale, the Ed Institute will extend to all school personnel, including operations staff. SA has demonstrated that when the administrative and business aspects of schools are well managed, teachers and leaders are freed up to focus entirely on student outcomes. Educators everywhere acknowledge the impact of effective teachers, but what is less often recognized, and what is essential to creating and sustaining excellent schools, is the need for strong management

expertise and operational best practices. The Ed Institute will layer in this curriculum.

Success Education Institute will be well positioned to train a high volume of new SA teachers as well as those from other charter and district schools around the country. At scale the Ed Institute will have the capacity to train more than 2,000 teachers, principals, business and operations professionals a year; SA anticipates that 10 percent of trainees will be from outside its network.

Technology - Success Academy School Management System

Over the years we have built a core competency in opening schools: how to secure needed space; attract students; onboard faculty; implement a robust curriculum; leverage the technology needed to capture, track, and report on data; have the appropriate financial controls in place; and ensure we have ample oversight in place. We know how to open schools.

The key is to continue to effectively and efficiently manage a network of high performing schools that is growing exponentially. As we add more schools into our portfolio, we are developing more robust systems for measuring the health of our schools and achievement of leaders, teachers and scholars.

Lack of existing technology to effectively manage school operations led SA to its second major initiative. SA needed a fully integrated technology to run all aspects of great schools – from finance and procurement to compliance reporting to talent management, from parent communications and event management to enrollment and student and teacher information. To develop its own school management software, SA hired Steven Gittleson as Chief Technology Officer in 2012. With 20 years of experience in managing large-scale, complex, web-based software development, Steven had served as technology architect for numerous successful startups, helping companies create and execute their technology vision. His extensive experience

building high-volume, real-time scalable enterprise software solutions made him an ideal choice to lead this project.

Designed with individualized dashboards and a single, uniquely structured database, this new system gives teachers, principals, and administrators real-time data, and the ability to perform multiple automated tasks with the tap of a tablet screen. With most modules already in use, the new system has already streamlined SA operations – and freed up educators for the hands-on work of schooling. Later this year, SMS will also give schools specific tools for managing and developing effective teachers and principals. Engineered to support the many aspects of great schooling, this system is already producing efficiencies and cost-savings, supporting accountability, and most importantly, driving effective teaching practices to create best outcomes for students.

QUALITY OF THE MANAGEMENT PLAN AND PERSONNEL

SA's senior management team has been carefully assembled to blend educators with experienced business and development executives and with senior functional leaders in the key areas of finance, human resources, legal affairs, and communications. The senior team, comprised of the Chief Executive Officer and the three Executive Vice Presidents of Schooling, Advancement, and Business Operations, is highly involved in driving the details of each new school opening and will be fully responsible and accountable for the proper use of CSP funds. Serving as Project Implementation Co-Directors, the senior team oversees all aspects of replicating and expanding our schools and our school design. The senior team meets weekly to track and drive progress of all critical projects including school openings. Each month the senior team meets with a wider group of directors, managers, and leaders to review the performance of the entire enterprise, including the leadership, academic, culture, operating, and productivity

metrics for each school; Success Academy's financial position, and the status of key development projects. These regular sessions ensure disciplined execution and allow for timely intervention and corrective action whenever the data signals the need for a change of course.

Scott Sobelman, Associate Director of Finance, is serving as Project Director for the Replication and Expansion Project. Scott Sobelman brings nearly 8 years of non-profit accounting experience to Success Academies. In his role at Success Academies, Scott supervises the Treasury team, focusing on government and private funding sources as well as managing all of the banking functions for the organization. Prior to joining Success Academy over four years ago, Scott led the business department for a small non-profit organization on Capitol Hill in Washington, DC called the American Historical Association. He is currently pursuing his MBA at Rutgers Business School in Newark, NJ.

Senior Team

Success Academy is led by Founder and CEO, Eva Moskowitz. Prior to the opening of SA's first school in 2006, Ms. Moskowitz visited 300 traditional public schools and 58 New York City charter schools, as well as top-performing charter schools around the country. As the former chair of the Education Committee of the New York City Council, she held hundreds of oversight hearings on education – on topics ranging from the teachers' union contract to toilet paper to science curricula. She insisted on two things from the city's education bureaucracy: accountability and competence. In her widely publicized education hearings, Ms. Moskowitz probed city officials on what they were doing to measure and improve teacher quality. In 2012, Ms. Moskowitz co-authored a book, *Mission Possible: How the Secrets of Success Academies Can Work in Any School*, to share reading and teacher training best practices. She remains a forceful advocate for education reform.

A native and current resident of Harlem and mother of three school-age children, Ms. Moskowitz completed her Ph.D. in American History at Johns Hopkins University, was a history professor, and later taught civics at Prep for Prep, a program for gifted minority students, before founding Success Academy. Her experience as an educator and as chair of the Education Committee led her to consider the underlying factors necessary to operate a successful school where low-income, minority students would be able to achieve at the same high levels as their more affluent peers. Additionally, she also examined how these schools could be replicated quickly while maintaining quality.

From the beginning, SA made the decision to invest up-front in creating the systems and operations that would allow its schools to function smoothly from day one. While private sector entrepreneurs have long embraced this concept and typically invest in businesses at the front end to ensure long-term sustainability, this practice has not commonly been applied to the education sector. Many CMOs across the country hire the minimum staff necessary to open a given school and do not consider the benefits of having a team devoted to replication and systems building.

SA is organized around the belief that teachers and school leaders should focus solely on teaching and learning. To that end, SA centralizes all school start-up operations and most non-instructional functions, as well as instructional support and teacher development within three key areas of the network: schooling, advancement, and business operations. An experienced executive vice president manages each area, each reporting to the CEO:

Schooling. Keri Hoyt, Executive Vice President of Schooling, oversees the day-to-day management of the schools, curriculum development, the extensive leader and teacher training programs and professional development, and assessment and data reporting. Before joining Success Academy in 2009, Ms. Hoyt was a vice president at The Princeton Review, where she

worked for 18 years in various roles throughout the organization, including vice president of product and marketing and associate vice president of admissions services. Ms. Hoyt holds a BA in English from the University of New Hampshire and an MBA from Wharton.

Advancement. Jody Friedman, Executive Vice President of Advancement, leads SA's effort to secure critical resources, broaden our community of support, build awareness and affinity for our schools among prospective parents and employees, community and elected leaders, and advocate for ed reform policies that provide educational opportunities to more children. Ms. Friedman has an extensive background in not-for-profit advancement, including leadership roles at Princeton University and Memorial Sloan-Kettering Cancer Center. She has also served as a consultant to prominent academic institutions, including Harvard Medical School and Williams College. She holds a master's degree from the Ecole Pratique des Hautes Etudes, which she attended while on a Fulbright Fellowship in Paris.

Business Operations. To achieve financial viability and operational efficiencies, Success Academy has refined and centralized several important aspects of schooling: school startups, student recruitment, the admissions lottery, the summer enrollment process, technology, finance, talent recruitment and human resources; compliance and legal services. Noel Leeson, Executive Vice President of Business Operations, ensures that all business operations run smoothly and cost-effectively. Before joining Success, Mr. Leeson built a 30-year career in fast-paced and high-growth industries, living and working in US, Europe, and Asia. He served as president of Electronic Materials at BOC Edwards and head of Electronics at Linde AG, a \$650 million global supplier to the semiconductor, solar and allied industries. Most recently, Mr. Leeson served as president of a high growth start-up company, Power & Energy Inc. He holds a BSc in mechanical engineering from the University of Manchester and an MBA from Manchester

Business School.

Senior Functional Leaders

Steven Gittleson – Chief Technology Officer Mr. Gittleson has 20 years of experience in managing large-scale, complex, web-based software development. As business strategist and technology architect for numerous successful startups, he has helped companies create and execute their technology vision. Mr. Gittleson has extensive experience building high-volume, real-time scalable enterprise software solutions, and after months of meeting with subject matter experts in all areas of our operation, he and his team are building out a new system that has already streamlined work for our teachers and is transforming how teams communicate and collaborate with one another.

Emily Kim – Chief Policy and Legal Officer Ms. Kim focuses on advancing innovative initiatives, reforming bureaucratic processes that pose obstacles to school growth, and managing litigation and compliance matters. She holds a J.D. from Columbia Law School and an Ed.M. from Teachers College, Columbia University. In addition, Ms. Kim holds a master's degree in English literature from the University of Pennsylvania, where she also received her bachelor's degree in English literature. Prior to entering law practice, Ms. Kim was a public high school English teacher in New York. She also was an education director of an early intervention program in Philadelphia, serving children with developmental delays, from birth to school-age. Prior to that, she worked in the Special Education department of the School District of Philadelphia. She has also taught writing and English literature courses at the Community College of Philadelphia and English as a second language in a high school in Guinea, West Africa.

Dennis McIntosh – Chief Financial Officer Mr. McIntosh brings over 30 years of experience

as a financial executive in a broad range of industries including publishing, technology, non-profit, energy, investment, and insurance. He has certifications as a CPA, GCMA, and IFRS reporting. Mr. McIntosh has served on several boards of directors, both private, non-profit, and publicly traded companies. An active member of the UCONN Alumni Association, he is also a mentor for Columbia University's masters program in technology.

Ann Powell - Senior Managing Director of Public Affairs Ms. Powell has 30 years of editorial and management experience, overseeing print and digital content for large media enterprises, such as *Vanity Fair*, *Saveur*, *Garden Design*, *My Generation*, and *Reader's Digest*. She manages marketing, internal communications, creative content, and advocacy efforts across the organization as well media relations. Ms. Powell holds a BA in English and Latin.

Mark Fogel – Senior Managing Director of Human Resources and Organizational

Development Mr. Fogel's background includes over a decade as chief human resource officer at Leviton and the Marcum Group as well as co-founding Human Capital 3.0, a boutique HR advisory firm. Mr. Fogel was honored by the Society for Human Resource Management (SHRM) nationally as their Human Capital Leader of the Year in 2007, and by *HR Executive Magazine* as an Honor Roll recipient in 2010 and "Best HR Ideas" in 2012. Mr. Fogel holds the SPHR and GPHR designations from the Human Resource Certification Institute (HRCI), and is one of less than a thousand individuals globally to do so. He is an adjunct professor at Adelphi Graduate School of Business. He sits on several local boards, leads the SHRM - CHRO network hub in the New York metro area, and is an editorial review member for World at Work publications. Resumes of key personnel are included in the Appendix B.

Additionally, Managing Directors lead the following departments within Schooling, Advancement, and Operations: Communications, Creative Content and Strategy, Development,

Enrollment, Humanities, Marketing, Operations, Schooling, STEM, and Talent.

Timeline and Milestones in Preparing to Open New Schools

SA network staff manages each school's entire operational start-up process so school leaders can focus exclusively on teaching and learning from the very moment the charter is granted. This process begins over a year and a half in advance of the opening date of the school. Once the Advisory team has filed the charter application, the Public Affairs department solicits community input, holds information sessions, and provides evidence of need to the Charter Schools Institute, one of the charter authorizers in New York State. This team also conducts extensive research to find appropriate space in existing New York City public school buildings. Please refer to the Third Amended and Restated Second Charter Agreement in Appendix E, which describes the obligations and responsibilities of the schools and the authorizer and includes a sample of a school's accountability plan progress report.

Once the charter is approved, which is typically about 10 months prior to the opening of a school, a principal is chosen from SA's Leadership Residence Program, which trains prospective principals for one to two years prior to opening a school. On the heels of this announcement, the Development Team begins to raise necessary start-up grants and philanthropic support, the Talent Recruitment team launches their teacher recruitment campaign. Talent Recruitment conducts national searches for top talent, executes comprehensive screening and hiring practices, and on-boards all new employees. Prospective employees participate in a comprehensive and competitive selection process that includes a written lesson plan, an in-person interview, and the delivery of a live demonstration lesson to a SA class, followed by a debriefing meeting. Successful candidates are recommended to principals for final review.

At the same time, the Enrollment Team launches the student recruitment campaign, which includes designing and distributing bi-lingual brochures, (nearly half a million each year, across all of the schools), providing online applications in English, Spanish, Chinese, Russian, and French, and doing significant outreach at community centers and area preschools. The vast campaign also includes social media, ethnic focused radio stations, and local community organizations in an effort to reach families that may not receive information from more mainstream communications.

Once the NYC Department of Education has provided appropriate space as a co-location in a public school building, or has agreed to rent private space (approximately five months prior to the opening of a school), the Operations Team begins negotiations with the leaders of the co-located school(s) to schedule the use of common areas in the building. The team then starts to prepare for the sprint of renovating the buildings. In April, the Technology, Enrollment, and Public Affairs teams run the student admissions lottery – a custom-designed digital process that simultaneously runs a lottery for multiple schools. Families are notified of the results. For an overview of the random lottery, please refer to the admissions policy in Appendix E. In May, the school's budget is finalized and Advisory manages compliance requirements. At the same time, Enrollment starts the enrollment process for new students. This process introduces incoming students and their families to the SA curriculum, culture, and values. SA also uses the enrollment process to collect required paperwork from families, to arrange for each family to get a public library card, and to assist families in ordering school uniforms. All this is done so that high-level teaching and learning can commence from the very first day of school.

The Schooling Team finalizes the curriculum and sets up an online video posting and sharing platform used for professional development and the public folders with lesson plans,

Smartboard files, and video lessons modeled by SA's best teachers. In addition, the team finalizes the school calendar, including all of the professional development days, family academic events, field trips, and college visits. At the same time, the Schooling team sets the academic goals based on what the best performing SA schools achieved and on the highest outcomes achieved by other high performing schools.

A three-week Leadership Summit kicks off the summer training, preparing all school principals and leadership for the upcoming academic year and further building their professional development. Sessions include, but aren't limited to, time management, how to build effective teams, how to give constructive feedback to struggling teachers, and how to analyze data and develop clear action plans. At the same time, operations and administrative support staff receive training specific to their roles.

In July, the CEO and EVP of Schooling, work with the following teams to develop and lead a 4-week Faculty Orientation to on-board and train new staff and prepare them for the expectations for the upcoming school year: Data Reporting, HR, ICT, Advisory, curriculum specialists, and Leaders. All new and returning teachers then participate together in the remaining weeks of T-School. A key component of SA's overall success is the extensive professional development continues throughout the year through daily coaching and weekly workshops, delivering the equivalent of 13 weeks of training. Through a partnership with Touro College, SA has also developed a 14-month program for entering teachers (T Fellows), which culminates in both certification and a master's degree. T Fellows commit to a two-year program, working first as an associate teacher, then as a lead teacher in their second year.

During T-School, clear year-end goals are set for school principals, teachers, and scholars. Using the SMART (Specific, Measurable, Achievable, Results-Oriented, and Time-

Bound) framework and data collected from the previous school year, academic, school culture, and personal performance, goals are set for principals and every teacher. These goals range from very specific test score goals, to family academic event attendance rates, to personal goals based on employee's past performance and professional aspirations. Goals are quickly submitted through a web-based form avoiding tedious paperwork, allowing principals to focus on the outcome, rather than the process.

In August, schools open and the network shifts from startup mode to ongoing school support. The Operations team ensures that all non-instructional operations at each school run smoothly. Each school has a Business Operations Manager who is responsible for all facility, procurement, food, and health and safety issues in the building. Each school also has a Community Relations Coordinator who is in charge of office management, school events, parent relations, and school culture. An Education Manager handles all testing and special education services. The Instructional Management team provides support to all schools, in the areas of leadership development, teacher training, and English Language Learner and special education services. These resources, combined with the information collected and stored in SMS provide teachers with an arsenal of data driven instructional tools.

Throughout the implementation, the Finance team carefully monitors the organization's finances to ensure all components of the program are accomplished within budget. SA's ability to scale rapidly while maintaining best-in-class schools is the result of years of refining and improving systems and processes. SA's Board of Trustees meets with the CEO and senior management at least six times per year to review the organization's finances and to ensure that SA's expansion plan will be a sustainable endeavor beyond this 5-year grant period.

Timeline from a school opening	Project Owner	Goals and Actions Needed
110 weeks	Schooling	Future leaders enter their principal-in-training program.
78 weeks	Business Operations	Advisory team files for a charter application.
76 weeks	Advancement	Public Affairs department solicits community input, holds information sessions, and provides evidence of need to the Charter Schools Institute, one of the charter authorizers in New York State.
74 weeks	Business Operations	Advisory conducts extensive research to find appropriate space in existing New York City public schools.
60 weeks	Advancement	Development starts a campaign to secure \$1.5 million for new for each new school to cover costs until the school reaches full enrollment and is self-supporting on per pupil public funding.
57 weeks	Schooling	Current T Fellows begin training to fill Lead Teacher positions for new; each new school opens with approximately 20 employees.
52 weeks	Business Operations and Advancement	HR kicks off the talent recruitment season for new positions. Marketing launches extensive digital and social media for the Talent Recruitment campaign. Talent Recruitment conducts national searches for top talent, executes comprehensive screening and hiring practices, and on-boards all new employees. Prospective employees participate in a comprehensive and competitive selection process that includes a written lesson plan, an in-person interview, and the delivery of a live demo lesson to a SA class, followed by a debriefing meeting. Successful candidates are recommended to principals for final review.
46 weeks	Business Operations and Advancement	Enrollment Team, with the help of Marketing, launches the student recruitment campaign, which includes designing and distributing almost a half a million bi-lingual brochures, providing online applications in English, Spanish, Chinese, Russian, and French, and doing significant outreach at community centers and area preschools to enroll 150-210 new students for each school.
41 weeks	Schooling	A senior leader is selected from SA's internal principal-in-training team to begin formal Rising Senior Leader Training.
40 weeks	Business Operations	Supply Chain orders all necessary materials for the school furniture, books, and supplies.
38 weeks	Business Operations and Advancement	NYC DOE provides either a co-location space in a public school building or private space for new and expanding schools. This process requires evidence of community demand and support; Public Affairs makes arrangements for parents to offer testimony to support the need for high-

		quality schools.
32 weeks	Business Operations	Operations Team begins negotiations with the principals of the co-located school(s) to schedule the use of common areas in the building needed to provide breakfast, lunch, recess, and sports.
29 weeks	Business Operations	Operations Team starts to prepare for the sprint of renovating the buildings. With very limited time in the summer to renovate, we try to do as much pre-work as we possibly can to have a fully functioning school on the first day of classes.
20 weeks	Schooling	Schooling finalizes the school calendar, including all of the professional development days, family academic events, field studies, and college visits.
19 weeks	Business Operations	The Enrollment team administers the random lottery, open to the public. It is a digital process that simultaneously runs a lottery for multiple schools. Families are notified of the results.
18 weeks	Business Operations	Enrollment introduces incoming students and their families to the SA curriculum, culture, and values. SA also uses the enrollment process to collect required paperwork from families, to arrange for each family to get a public library card, and to assist families in ordering school uniforms.
15 weeks	Business Operations	Finance team finalizes the school budget and presents to the Finance Committee of the Board of Directors to get board approval.
15 weeks	Schooling and Advancement	The Schooling team finalizes the curriculum and with the Creative Content team creates the training and development teachers and principals need to teach.
14 weeks	Schooling	The Schooling team sets academic goals based on what the best performing SA schools achieved and on the highest outcomes achieved by other high performing schools. This sets clear expectations for our leaders, teachers, scholars, and families.
7 weeks	Business Operations	Renovation of the school begins to provide a beautiful house of learning by the first day of school.
6 weeks	Schooling	The Schooling team kicks off Leader Summit for the upcoming school year to fully prepare principals to welcome scholars into the school.
4 weeks	Schooling	Summer T-School kicks off; all teachers are trained and prepared for the first 6 weeks of school.
1 week	Schooling	All faculty report to school and put the finishing touches on the building before the scholars arrive.

QUALITY OF EVALUATION PLAN

Goals and Objectives

- Success Academy schools will rank in the top 10% in the state of New York on the New York State tests.
- Success Academy schools will outperform its neighborhood district schools by more than 20% on the New York State math, science and ELA exams
- The percentage of Title 1 scholars scoring at Levels 3 or 4 on the New York State exams will be on par with, if not exceed, wealthy New York school districts.
- The percentage of students scoring at Levels 3 or 4 on the New York State exams, including special needs and English Language Learner students, will be greater than the percentages from the schools' surrounding school districts for each subject area.
- Schools will have at least 95% of its scholars in attendance every day, who are on-time, dressed in uniform, with their homework and reading logs complete.
- All new schools will be self-sustaining on public per pupil funding by the time they reach full enrollment.
- At least 92% of students are retained annually.

Methods of Evaluation

We look at very specific milestones and stop at critical decision points throughout the time leading up to and opening our schools. If at any point the answer is no to any of these questions, we will not open a new school.

AREA	Timeline	QUESTION
Current Performance	18 Months out	Is the performance of our current schools meeting our expectations and standards?
Network Capacity	16 Months out	Does the network have the capacity to effectively manage and run an additional school?
School Leader	10 Months out	Do we have a strong leader for the school?
Finances	9 Months out	Do we have the finances we need to operate a high-performing school?
Demand	5 months out	Do we have the demand we need to fill the school?
Space	4 Months out	Do we have the space we need to open the school?
Talent	5 Months out	Do we have the faculty we need?

Objective performance measures

Success Academy’s internal and external assessments inform instruction and guarantee continual improvement. Each grade level throughout the network follows the same curriculum and the same testing calendar. This practice ensures that results can be easily assessed and compared to quickly revise, improve, and meet the needs of all scholars. With every school that opens, our systems become more refined, and the learning becomes more profound. This ability to successfully replicate is a key part of our ability to continue to expand our network of schools while always raising our bar for academic excellence. See Appendix H for assessments overview.

Plan for Closing A Charter School

All SA schools rank among the highest performing schools in New York State, with a 100% record of Charter renewal, strong and conservative financial management oversight, and the continuing support of a broad group of stakeholders. As such, SA has not been faced with closing any of its schools. If it should become necessary to close a school SA will follow the most recent dissolution plan issued by the SUNY Charter Schools Institute. The SA-NYC Board of Trustees will delegate to the school principal the responsibility of managing the day to day

dissolution process and implementing the closure plan approved by the Board under the advisement of the Treasurer of the Board. The principal and Treasurer will not take any final action that, by law, requires Board approval or make any final reports to the State University Trustees, unless such authority is specifically delegated.

SA will work closely with appropriate representatives of the CSD of the school and the DOE to develop and implement a dissolution plan that will govern the process of transferring students and student records. Initially, a list of students attending each school will be sent to the DOE. The school will coordinate any planned or voluntary dissolution with the CSD to facilitate reintegration of its students and their records, and will provide the district with a minimum notice of 120 days for any voluntary dissolution.

Prior to dissolution, the school will conduct a series of meetings for parents to provide information about the dissolution and to support them in making decisions regarding the selection of educational programs for their children. School representatives will also meet one-on-one with each enrolled student's family to ensure that all parents are aware of their options regarding the educational services for their child in New York City public schools, charter schools, and nonpublic schools.

The dissolution plan will provide that all property that the school has leased, borrowed, or contracted for use will be returned. The return of such property will conform with existing contracts, where applicable, or will be done with reasonable promptness. All remaining assets of the school will be transferred to the other charter schools within SA.

The school's principal and business operations manager, along with the appropriate individuals from the CMO staff, including the Chief Legal Officer, will work with SUNY to determine the appropriate timeline for dissolution, and will oversee the appropriate transfer of

students, assets, etc. as needed, to other SA schools, where possible.

Should a SA school face the loss of its co-located space, SA will work with city officials to find alternative co-located or private space in which to continue to operate the school. Should a closure prove inevitable, SA will work tirelessly to find spaces for the effected scholars at other Success Academy schools. For additional information for dissolution of a charter school, please refer to the Budget Narrative.

MULTI-YEAR FINANCIAL AND OPERATING MODEL

Governance

Success Academy is operated under two separately incorporated non-profit organizations, with separate independent Boards of Directors. This ensures maximum external oversight and due diligence regarding policy, direction and financial matters for the benefit of the scholars who attend SA schools. Success Academy Charter Schools (SACS) is the CMO board and Success Academy Charter Schools – NYC is the schools board. Both boards are comprised of dedicated individuals who are committed to redefining what is possible in public education. The SA-NYC Board of Directors ensures that school leadership, school resources, and school facilities are in place to deliver an exceptional education to scholars. The SACS Board of Directors oversees the activities of the SACS network, setting the direction for the CMO, ensuring that the CMO provides the contracted services to SA-NYC, guiding the organization’s sustainable growth, and directing its bold vision for public education. Staff and both boards work collaboratively to ensure the highest quality of planning, implementation and oversight of our business model.

	# of Schools	5 year change in Schools					
FY Ending	2016	2017	2018	2019	2020	2021	
Elementary School	24	30	34	38	42	46	22
Middle School	9	11	14	17	17	20	11
High School	1	1	1	2	4	4	3

34	42	49	57	63	70	36
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Scholar Count	10,896	14,000	17,100	20,400	23,900	27,500
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CSP 2015 Opening Plan	2017	2018	2019	2020	2021	Total Schools
Elementary School	1	0	4	3	0	8
Middle School	0	2	0	0	0	2
High School	1	0	1	2	0	4

2	2	5	5	0	14
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Initially, the schools managed by the network board were each managed by separate non-profit education corporations, each with its own board of directors. SA schools are now merged into one nonprofit education corporation, Success Academy Charter Schools – NYC (SA-NYC). The merger of the non-profit education corporation’s school boards, which became effective on July 1, 2014, has several important benefits for students, including: two or more elementary schools can “feed” into combined middle and high school programs without requiring students to reapply for admission, and students are able to transfer among SA schools without reentering the lottery. This merger also allows SA to address cash flow needs of growing new schools with cash balances likely to be available at older, self-sustaining schools. Additionally, the board has the benefit of looking at the entire network to better identify trends, anomalies, and best practices.

Broad Base of Financial Support

The SA financial model does not rely on private philanthropy to run our schools. In fact, SA

schools currently operate solely on public funding via per pupil funding from the state, previously received CSP Replication and Expansion grants and other federal entitlement programs: Title I, Title II, IDEA, National School Lunch Program and E-rate. In 2015, SA will receive \$14,102 in public general education funding per pupil (about 70% of what a similarly situated traditional public school in NYC receives). In addition to the general education funding, SA schools receive per pupil funding for special education that can amount to an additional \$19,049 per scholar. SA schools are developed with the goal of educating students more effectively on less money per pupil than traditional public schools. SA's academic and fiscal records show that we are successful on both counts.

Success Academy Projected Uses and Sources of Funds					
During and Beyond Grant Period					
\$ Millions	2015-2016	2016-2017	2017-2018	2018-2019	2019-2020
Public Revenues*	\$176.5	\$224.4	\$275.4	\$326.1	\$378.3
TOTAL SOURCES	\$176.5	\$224.4	\$275.4	\$326.1	\$378.3
Personnel	104.0	140.0	169.7	201.1	237.2
Facilities	0.8	1.0	1.1	1.3	1.5
Instructional Materials	9.6	12.1	13.3	15.6	17.5
Technology	5.2	6.3	7.2	8.7	9.4
Management Fees	22.4	29.1	35.5	42.5	49.7
Other	33.4	39.9	47.4	55.2	60.4
TOTAL USES	\$175.4	\$228.4	\$274.2	\$324.4	\$375.7
TOTAL EXCESS/(DEFICIT)	\$1.1	-\$4.0	\$1.2	\$1.7	\$2.6

*Public Revenues does not include proposed funding for the 2015 CSP competition

Philanthropy is used mainly for start-up costs and to run the schools until they become self-sustaining on per pupil funding (by year three for elementary schools). Philanthropy also supports innovative projects such as the Education Institute and the School Management System,

which benefit SA schools and also benefit interested schools throughout the country. SA has been successful in raising funds to support its five-year growth plan. In FY14, we raised \$33 million from CSP, foundations, individuals, and fundraising events. Major foundation partners include The Fisher Fund, The Eli and Edythe Broad Foundation, The Walton Family Foundation, The Charter School Growth Fund, The Peter and Carmen Lucia Buck Foundation, The William E. Simon Foundation, and The Kovner Foundation.

Each new SA elementary school opens with a kindergarten and first grade, typically 150 students; each year thereafter about 90 students are added as incoming kindergarteners. With more than 22,000 unique applications for 2,300 seats this year, it is evident that demand for SA replication and expansion is high and SA's broad base of support is

Funding Request

By researching successful charter schools extensively, conducting thorough financial analysis and modeling, and learning from its own experience opening schools in New York City, SA has developed a startup and operating budget for the first five years of each new school's operation and drafted financial policies and controls that ensures its schools and network continue to be on track to be self-sustaining. SA's financial model is designed to ensure that our schools are self-sustaining on public funds when fully enrolled.

SA requests \$13,440,000 million over five years to fund the replication of eight elementary schools and the expansion of two middle schools and four high schools. See Appendix H for school locations.

Other Attachment File(s)

* Mandatory Other Attachment Filename:

To add more "Other Attachment" attachments, please use the attachment buttons below.

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.

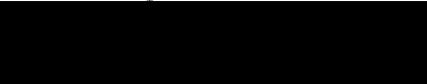
PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

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.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		TITLE	
		Associate Director of Finance	
APPLICANT ORGANIZATION		DATE SUBMITTED	
Success Academy Charter Schools, Inc		7/13/2015	

CHARTER SCHOOLS PROGRAM – REPLICATION & EXPANSION GRANTS

Grantee Assurances

As the duly authorized representative of the grantee, I certify that the grantee has submitted to the Secretary, or will submit within 30 days of the date of the Grant Award Notification, the following items:

- 1) All items described in section V (Application Requirements) of the Notice Inviting Applications for New Awards for Fiscal Year 2011, published in the Federal Register on [July 12, 2011 (76 FR 40898)];
- 2) Proof that the grantee has applied to an authorized public chartering authority to operate each charter school and provided to that authority adequate and timely notice, and a copy, of this application;
- 3) Proof of the grantee's non-profit or not for-profit status;
- 4) A statement as to whether the charter school the applicant is proposing to replicate or expand currently receives, or has previously received, funding for this program either through a State subgrant or directly from the Department;
- 5) A description of how a charter school that is considered a local educational agency under State law, or a local educational agency in which a charter school is located, will comply with sections 613(a)(5) and 613(e)(1)(B) of the Individuals with Disabilities Education Act;
- 6) A description of the State or local rules generally applicable to public schools that will be waived for, or otherwise not apply to, the charter schools the applicant proposes to create or expand; and
- 7) Such other information and assurances as the Secretary may require.

As the duly authorized representative of the grantee, I also certify to the following assurances:

- 8) That the grantee will annually provide the Secretary such information as the Secretary may require to determine if the charter schools created or expanded under this grant are making satisfactory progress toward achieving the objectives described in 5203(b)(3)(C)(i);
- 9) That the grantee will cooperate with the Secretary in evaluating this program;
- 10) That the grantee will use the funds to replicate or expand a high-quality charter school in accordance with the requirements of the CSP;

- 11) That the grantee will ensure that a charter school that receives funds under this program will not receive funds for the same purpose under section 5202(c)(2) of the ESEA, including for planning and program design or the initial implementation of a charter school; and
- 12) That the State will grant waivers of State statutory or regulatory requirements, and a description of the State or local rules, generally applicable to public schools, that will be waived for, or otherwise not apply to, the schools the applicant proposes to replicate or expand.

NAME OF AUTHORIZED OFFICIAL

TITLE



AUTHORIZED OFFICIAL

DATE

APPLICANT ORGANIZATION

DATE SUBMITTED

EVA MOSKOWITZ

Success Charter Network, *Founder and CEO*

2006-Present

Network Operations

- Opened 4 high-quality public charter schools in Harlem, the Harlem Success Academies
- Monitor the operations, progress and sustainability of all charter schools under the Network
- Supervise a staff of 25 employees responsible for Network operations
- Devise and manage a budget of \$5 million dollars
- Aggressively pursue funding streams for new Network schools
- Design systems and structures to ensure that the replication of the Harlem Success Academy will produce 40 high-quality schools

Harlem Success Academies – School Operations

- Spearheaded start-up of public charter school in Harlem with the goal of alleviating the achievement gap in the New York City education system
- In eight months, developed a school model, hired teachers, designed curriculum, secured a facility, recruited students, and devised a budget
- Developed a well-rounded curriculum including an exploratory-based science curriculum, a unique social studies and geography curriculum, additional instruction in chess, art, soccer, and dance, and a character education component
- Led aggressive national faculty recruitment program, choosing 13 teachers from a pool of 1700 applicants in the first year, and 16 teachers from nearly 2000 in the second year
- Oversaw all daily instructional and non-instructional operations to ensure optimal student achievement and fiscal viability, including teacher and staff recruitment, instructional development, student testing, family affairs, budget considerations, fundraising and development, and public relations
- Made instructional decisions resulting in incredible gains in student achievement: In first year, first graders went from 44% reading on grade level to 96% on or above grade level (66% above); in all mathematics units, over 97% of students scored at a highly proficient level (80% competence or above)
- Ensured parental satisfaction and high parental involvement

New York City Council Member

1999 – 2005

Education Committee Chair

- Led one of the most active and influential committees on the Council, holding over 100 oversight hearings and passing more legislation in three years than was passed in the previous 12, including the *School Construction Accountability Act*, *Young Adults Voter Registration Act*, and *Dignity for All Students Act*.
- Conducted extensive analysis of NYC Department of Education reforms and issued substantive reports on instructional and operational topics, including literacy, science education, arts education, procurement, school employee union contracts, and teacher retention.
- Worked aggressively to secure mayoral control of the school system.
- Established the NYC Charter School Improvement Fund, a \$3.42 million fund to help charter schools develop educational facilities, the first ever public funding initiative for charter facilities.
- Identified 73,000 empty school seats across the city and brokered a deal with the NYC Department of Education to make seats available to charter schools.
- Led effort to open the first new high school on the Upper East Side in 30 years, including securing the facility and ensuring timely completion of construction

Legislation

- As one of the Council's most prolific legislators, authored ten local laws:
 - *The Paperwork Reduction Act*, which streamlines the city's procurement process and, according to the Citizens Budget Commission, saves the city over \$200 million a year.
 - *The Diesel Emissions Control Act*, which tackles the vexing problem of idling by changing the fines schedule and increasing signage.
 - *The Campaign Finance Act of 2002*, which reforms campaign finance rules to ensure honesty and a predictable regulatory framework in local elections.
 - *The Rape Survivors' Defense Act*, which requires hospitals receiving city funding to make emergency contraceptive options available to women.

- *The Healthcare Mobilization Act*, which ensures that all New Yorkers have access to information about public health insurance programs.
- *The Heat and Hot Water Act*, which penalizes landlords who fail to provide their tenants with sufficient heat and hot water.
- *The School Construction Accountability Act*, which holds the School Construction Authority accountable for delays and budget overruns.
- *The Sidewalk Beautification Act*, which regulates the placement and maintenance of newsracks.
- *The Audible Car Alarm Ban*, which bans the sale, installation, and use of audible car alarms.
- *The Gun Control Liability Act*, which imposes liability on gun manufactures and dealers who refuse to abide by a basic code of conduct (including safety locks on guns.)

Budget and Oversight

- As a veteran member of the Council’s Finance Committee, negotiated the city’s annual \$50 billion budget.
- Secured a \$13 billion 5-year school construction budget – an \$8.5 billion increase from the Mayor’s proposed budget – and successfully fought the Mayor’s \$1.3 billion cut to the 1st year of the plan.
- Pushed aggressively for the creation of an Earned Income Tax Credit (EITC) for city income taxes.
- Negotiated the public’s access to the financial system used to track the city’s capital projects.
- Secured funding for key education projects, including \$16 million to reimburse city school teachers for classroom supply purchases, \$35 million to reduce class size, and \$22 million for school science labs.
- Served on Finance, Government Operations, Transportation, Women’s Issues, and Contracts Committees.
- Co-founded the Council’s Women’s Caucus.
- Crafted the Council’s democratic rules reform platform adopted January 2002.

Constituent Services and Community Issues

- Provided constituent services that address the needs of 100,000 constituents and over 100 community groups.
- Managed a casework program that solves problems of over 600 constituents per month with a 24 hour response time.
- Addressed community concerns about land use, development, sanitation, transportation, and other issues.
- Managed \$15 million in local capital projects annually (new parks, school repairs, etc.).
- Created data management system for tracking constituent cases.

Prep for Prep, Director of Public Affairs and Civics Teacher

1998 – 1999

- Designed and taught civics curriculum for 10th and 11th graders in program for gifted minority students.
- Secured and managed public service internships for 40 students.
- Managed highly selective, hands-on leadership program for 30 students.
- Trained program teachers and leadership counselors.

POLITICAL AND FUNDRAISING ACCOMPLISHMENTS

- Successfully elected to the City Council three times, raising over \$900,000 during the course of the three elections.
- Ran \$1.6 million Democratic primary campaign for Manhattan Borough President, raising funding in record time of 15 months, primarily through cold donor calls.
- Endorsed by all major New York City newspapers, including *The New York Times*, *The New York Daily News*, *The New York Post*, *Newsday*, *The New York Sun*, and *The New York Observer*.

ACADEMIC CAREER

Columbia University, Chair of the faculty seminar in American Studies

1996 – 1999

CUNY, Assistant Professor of History

1994 – 1995

Vanderbilt University, Assistant Professor of History

1992 – 1993

University of Virginia, Visiting Professor of Communications and Mass Culture

1989 – 1990

SELECTED AWARDS AND BOARD MEMBERSHIPS

- Aspen Institute’s Aspen-Rodel Fellowship in Public Service, one of 24 participants nationwide, 2005
- Democratic Leadership Council “Top Ten Rising Stars Award,” 2000 and 2003
- Creative Achiever Award from ArtsGenesis and New York City Cultural Institutions Group Award for leadership on arts education, 2004

- Charter School Champions Award, New York Charter Schools Association, 2003
- Anti-Defamation League, New York Regional Board

PUBLICATIONS

- In Therapy We Trust: America's Obsession with Self-Fulfillment, Johns Hopkins University Press, 2001.
- *Some Spirit in Me*, documentary on the impact of feminism on the lives of ordinary women, Filmmakers Library, 1999.
- City Council Reports:
 - *Lost in Space: Science Instruction in New York City Public Schools*
 - *Keeping Score: Can You Judge a School by its Report Card?*
 - *Reading in New York City Schools*
 - *Good Apples: Recruiting and Retaining Quality Teachers in New York City*
 - *A Picture is Worth a Thousand Words: Arts Education in New York City Public Schools*
 - *Too Little, Too Late: Special Education in New York City*
 - *Fair or Foul? Physical Education in New York City Public School*
 - *Correcting Juvenile Injustice: A Bill of Rights for Children Released from Custody*
 - *From The Mouths of Babes: New York City Public School Kids Speak Out*
 - *The Education Budget Guide for Parents*
 - *The Chancellor's Regulations Guide for Parents*
 - *Breaking Through the Static: How to Find Information about the Safety of Your Cell Phone*
 - *At an Unhappy Hour: The Ten Noisiest Bars in Manhattan*

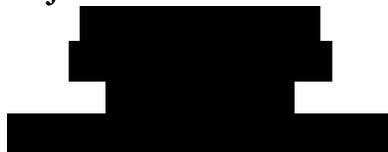
EDUCATION

- John Hopkins University, Ph.D. in American History
- University of Pennsylvania, B.A. with Honors in History, Phi Beta Kappa

PERSONAL

- Mother of [REDACTED] who attend NYC public schools.
- Life-long New Yorker, avid cyclist, proficient in French.

JUDITH FRIEDMAN



EXPERIENCE

Princeton University, Princeton NJ

Senior Advisor for Strategy

2010 –

Present

Provides strategic vision for Princeton philanthropy. Collaborates with President, Board of Trustees, Vice President for Development, and other University and volunteer leaders to achieve goals of \$1.75 billion *Aspire* campaign and launch the next era of Princeton fundraising. Major areas of responsibility:

- Works directly with top donors to maximize giving at highest levels, including engagement, solicitation, and stewardship of transformative gifts (e.g. successful program of President's Retreats to focus principal gift donors on campaign priorities through intensive interaction with President, distinguished faculty and accomplished students);
- Oversees relations with University's senior volunteer leadership, including Resources Committee of the Board and Campaign Co-Chairs and Executive Committee (e.g. identifying, recruiting, training, team-building for current and future leaders);
- Reports to Board and senior volunteer leadership on fundraising results, campaign strategy and forward planning. Develops effective metrics and other tools for tracking progress, highlighting new and established programs and engaging leaders in key initiatives (e.g. successful program to increase giving of top donors in the final year of the campaign);
- Develops and implements special initiatives to expand participation of underrepresented cohorts as volunteers and donors (e.g. successful programs with alumni of color and women);
- Mentors frontline fundraisers, providing innovative strategies that emphasize Princeton's mission and distinctive culture and spirit.

Director, Office of Partnerships and Planning

2005 – 2010

Responsible for creating strong partnerships with alumni, parents, friends on Princeton's behalf and overseeing high-impact initiatives for cultivation, solicitation and stewardship. Worked with senior University and volunteer leadership to plan, launch and execute the *Aspire* campaign. Other major accomplishments include: campaign branding; innovative programs to secure and steward gifts from highest-capacity donors; successful management of Board relations and staffing of the campaign Co-Chairs and Executive Committee.

Special Assistant to the President

Director, Office of Development Communications

1995 – 2005

Worked with President on broad range of initiatives, including: commemoration of University's 250th anniversary; marketing and communications strategy; and speeches and book projects. Developed multifaceted marketing program – as well as cultivation, solicitation and stewardship initiatives – to sustain and expand the strong Princeton tradition of philanthropy. Major accomplishments include: award-winning communications for \$1.14 billion *Anniversary Campaign for Princeton*; successful program to boost giving of young alumni; effective development and/or marketing strategies for Admissions, Athletics, Graduate School and Art Museum.

Consultant, Fundraising, Public Affairs and Scientific Communications 1992 – Present
Consults on development, communications, and alumni, donor and board relations for prominent academic and healthcare institutions, including Williams College and Harvard Medical School.

Memorial Sloan-Kettering Cancer Center, New York, NY 1983 – 1992
Director of Communications

Developed a comprehensive communications program to support a capital campaign and keep a national audience (including media and other opinion-makers) informed about new developments in biomedical science. Responsible for all external publications, including annual report, bimonthly newsletter (circulation 250,000) and press advisories on advances in basic research and clinical care.

Natural History Magazine, New York, NY 1980 – 1983
Managing Editor

Managed the day-to-day operations of the magazine of the American Museum of Natural History, with responsibility for overall editorial content and design. Monitored new developments across the broad range of natural sciences and commissioned articles from researchers throughout the world.

Scientific American Magazine, New York, NY 1976 – 1980
Editor

As a member of the editorial board, commissioned articles and edited the work of leading scientists to make their research accessible to a sophisticated readership.

Fulbright Fellowship (Paris, France) 1974 – 1975

EDUCATION

M.A., History of Science, 1976, Ecole Pratique des Hautes Etudes (Paris, France)

B.A., Mathematics, 1974, Princeton University (Princeton, New Jersey)

OTHER

Winner of numerous CASE awards, including Grand Gold Medal for Development Programs

Member of the Advisory Board, James Michener Center for Writers, University of Texas at Austin

Keri Hoyt

EXPERIENCE

THE PRINCETON REVIEW MANAGEMENT; TEST PREPARATION VICE PRESIDENT, SALES AND MARKETING 2006 TO 2009

Set and implement sales and product strategy for the division, including product design, positioning, price, promotion, placement, and budgeting. Lead and manage five sales channels: Inside Sales, Internet Sales, Field Sales, Distance Learning Sales, and Business Development initiatives representing approximately \$90mm and support all school-based sales initiatives. Manage a creative team in all branding initiatives within the Test Preparation division.

THE PRINCETON REVIEW MANAGEMENT; ADMISSIONS SERVICES VICE PRESIDENT, PRODUCT MARKETING 2002-2005

Developed vision and strategy for the Admissions Services Division of The Princeton Review. Accountable for P&L management. Led all branding, marketing, and product development for a \$17mm division and managed a marketing team of three, marketing communications team of four, and bi-coastal product team of seven. Increased customer base, improved customer renewal rate, and raised both client and employee satisfaction.

ASSISTANT VICE PRESIDENT, MARKETING 2001-2002

Hired to create and manage first formalized marketing department within the Admissions Services division of The Princeton Review. Managed allocation of budget and team of marketing managers in New York and San Francisco. Led the merger of a recently acquired San Francisco based company- Embark. Managed cross-functional team to merge two major websites: Review.com and Embark.com, repositioned Embark brand under Princeton Review brand. Notable successes include: new website, PrincetonReview.com, named top 25 websites by Forbes Magazine, new online guidance system recognized as best educational website by Technology and Learning, and reduced advertising expenses by 50%.

THE PRINCETON REVIEW- BOSTON, INC. EXECUTIVE DIRECTOR 1995-2001

Developed and implemented plan that maximized sales, cash flow, and profit, ultimately growing revenue by 50% to \$4.2mm with a 25% pre-tax return, and growing profits by more than 300%. Managed team of 17 full time employees and 150 part time employees. Developed and launched first state assessment preparation program, , won FAT (Franchise Achievement Test) award 5 times naming Boston the best office in the country, and launched international marketing efforts by being the first office to secure the rights to issue I-20s to students seeking education in the United States.

DIRECTOR OF MARKETING 1996-1997

DIRECTOR OF GRADUATE PROGRAMS 1995-1996

THE PRINCETON REVIEW- SAN JOSE DIRECTOR OF OPERATIONS 1994-1995

Managed division of an Inc. 500 company providing preparatory programs for college, graduate, and professional admission test programs throughout Northern California. Managed approximately \$1mm in revenue, with a 10% pre-tax return. Responsible for hiring and training instructors, finding course locations, marketing programs to students and advisors, measuring and assuring course quality, and managing all course operations.

EDUCATION

UNIVERSITY OF PENNSYLVANIA MBA 2006

UNIVERSITY OF NEW HAMPSHIRE BACHELOR OF ARTS, ENGLISH 1994

Noel James Leeson

[REDACTED]

[REDACTED]

[REDACTED]

Summary: Established track record of building value in complex and uncertain business environments across the US, Asia and Europe. Change-oriented leader successful in assembling and motivating diverse, high performing teams. Seasoned manager known for delivering results across the business cycle. Creative, strategic thinker with a strong, balancing grip on detail that ensures critical actions get done.

Experience and Major Achievements

President and COO, Power & Energy Inc, PA, USA

2010 to date

Recruited by the Board to lead Power & Energy to sustainable commercial viability. Power and Energy's mission is to enable the Hydrogen Economy and promote energy efficiency through the application of its unique technology. Target markets include electronics manufacture, new fuels and fuel processors for PEM fuel cell uses.

- Doubled product sales by introducing new products, establishing worldwide distribution channels and by leveraging e-commerce tools to increase market awareness.
- Developed and implemented financing strategy employing bank facilities and State and Federal programmes to fund working capital and technology development.
- Upgraded team skills and business processes and systems leading to improved products, customer satisfaction and development project execution.
- Divested purifier division to strategic buyer for ~ 5 x 2012 sales.

LINDE AG, Munich, Germany

2006 - 2009

\$16.5Bn global industrial gases and chemical plant engineering company. Formed through the merger of Linde AG and The BOC Group PLC.

Head of Electronics (President), Kowloon, Hong Kong

- Promoted to assemble and grow the new Electronic Gases division. Responsible for strategic and operational development of \$650M worldwide business of 1,200 people, supplying materials, manufactured equipment and services to the semiconductor, flat panel and solar industries. Member of senior management 'Top 40' of Linde AG.
- Embedded a growth strategy that leveraged the core competencies of the merged businesses into new growth markets, further developed the successful elements of the BOC and Linde businesses and drove operational excellence across global operations.
- Entered the solar cell market reaching sales of \$42M in 2008 by leading the development of the strategy, the organisation and the products needed to address this rapidly emerging market. Achieved 50% penetration of target segment.
- Won \$250M of new business at the top 3 semiconductor manufacturers.
- Exceeded EBITDA target by 10% in first year.
- Integrated and improved operations from both companies by employing six sigma, lean manufacturing and rapid deployment of identified best practices across the global operation.
- Awarded Intel PQS (Preferred Quality Supplier) in 2007 and 2008.
- Turned around EcoSnow business unit, a process tool manufacturing business, prior to the successful disposal of the business.
- Established manufacturing facilities in Korea to produce on-site fluorine generators.
- Led R&D and product development activities to introduce a new category of materials into the market.

THE BOC GROUP PLC, Windlesham, Surrey, UK

1986 – 2006

\$8.3Bn global industrial gases company, acquired by Linde AG in 2006.

President, Electronic Materials, BOC Edwards, Kowloon, Hong Kong, (2004 – 2006)

- Promoted to lead \$250M global specialty materials division of 250 direct employees serving the semiconductor and flat panel industries. Joined the boards of key Asian joint ventures. Member of BOC Edwards' senior management team.
- Grew global revenues by 15% whilst doubling operating profit to \$22M.
- Won the World's first factory-wide fluorine installation in Korea, a \$12M investment at a premium return.
- Improved safety performance to become an internal benchmark for safety performance.
- Sharpened the focus on Asian customer opportunities and operational efficiency through a new Asia-centric organisation model, whilst continuing to drive performance in the US and Europe.
- Led the separation of BOC's \$700M electronic gases business and its integration in to Linde.

Vice President, Electronic Materials, BOC Edwards, NJ, USA. (1997 – 2004)

- Promoted to establish and lead a new global business division with sales of \$150M and 200 employees serving the semiconductor industry worldwide.
- Created a new supply chain based strategy that:
 - Grew revenues by 30% despite the 2001 industry downturn.
 - Turned an operating loss of \$2.5M into operating profit of \$10M.
 - Rationalised manufacturing capacity closing 5 plants in US and Europe.
- Positioned the company in new growth products:
 - Designed and invested in a \$20M NF3 production plant in South Africa.
 - Identified opportunity to change the rules in the chamber clean market through on-site F2 generation. Acquired and integrated leading F2 generator technology company.
- Entered the Korea and China markets. Sales in 2004 ~ \$5M.
- Led the Group in achieving three years without a lost time or medical treatment incident.

Business Director, Electronics, BOC Gases, NJ, USA. (1995 – 1997)

- Promoted to lead and grow the US Electronic Gases business through the mid-90s semiconductor boom, reaching \$100M in a mix of consumable and capital equipment sales.
- Improved operating profit by 43%.
- Won 65% of targeted total systems business, each win worth ~ \$20M.
- Conceptualised and constructed a state-of-the-art, \$25M production site.
- Managed the acquisition of Systems Chemistry - \$35M company.
- Cut the capital costs of total system installations by 20%.

Business Director, Electronic Special Gases, BOC Gases, NJ, USA. (1993 – 1995)

Manager, Electronics Business Development, BOC Group Inc, NJ, USA. (1990 – 1993)

Planning Manager, The BOC Group PLC, Surrey, UK. (1986 – 1989)

LUCAS-GIRLING LTD, Birmingham, UK.

1980 – 1984

Design and Development Engineer

Education

MBA, Manchester Business School (UK) 1986

BSc (2.1 Hons) Mechanical Engineering University of Manchester (UK) 1980

STEVEN G. GITTLESON

Objective:

To serve in a leadership role as a “hands on” senior technology executive within an organization that views the use of technology, specifically the Internet, and the teams that support it as key components of its overall operations.

Qualifications:

20 years of technology management and team building experience including a detailed working knowledge of information technologies, specifically the Agile software development process. Solid experience covering (1) managing software development teams, both in-house and outsourced (managed teams of up to 40 staff based in multiple sites and across multiple countries); (2) managing data centers and related support staff; (3) fiduciary and budget responsibility for reporting departments under management; (4) complex contract negotiations with vendors and their SLA's; (5) over 10 years in depth experience in Oracle ERP and Siebel CRM.

Industry experience (selected):

Mobile development platforms HTML 5, ios and Android (Agile - 2 years); **High availability and massively scalable online gaming platform** (iHomeGame - 3 yrs exp); **Real-time messaging, email scanning and web security** (Omnipod - 2 yrs exp); **B2C** (Buy.com; Realtor.com; Netcreations - 6 yrs exp); **Entertainment & Media** (Fox Entertainment; USA Broadcasting - 2 yrs exp).

PROFESSIONAL EXPERIENCE

Agile Outsourced Solutions, LLC Chief Technology Officer

March 2006 to Present

Provide tier one technology solutions as CTO for small and emerging businesses, with an emphasis on building and/or acquiring software solutions to solve business challenges and synergize disparate systems. Managed several software development platforms focused on HTML 5 and ios development, with iPad and Android as the primary delivery device. Extensive experience in cloud hosting, both on the Amazon and Microsoft cloud. Responsible for IT leadership from both a strategic and tactical perspective, reporting directly to the CEO and Board.

Projects undertaken include, *inter alia*, development of (1) a complex web based lottery application subject to extensive regulatory requirements; (2) a mobile application integrated to Salesforce.com running on the Android platform; (3) a reverse auction site; (4) a state-of-the-art online gaming platform incorporating 3D virtual worlds, YouTube API, Facebook API, Twitter and several other Web 2.0 applications all in a highly scalable solution running inside the browser; and (5) an online meal reservation application.

Omnipod, Inc., New York, NY Chief Technology Officer

November 2004 - March 2006

(acquired by Messagelabs/Symantec 2007)

Omnipod is a leading provider of enterprise instant messaging services, providing a secure, fully managed instant messaging and communication platform which integrates file sharing, collaboration tools and other communications functions into a highly secure, centrally controlled infrastructure, with over 1,000 customers and 1,400,000 online users around the globe. Development offices were in NYC and Canada.

Responsible for the leadership, product development and strategic guidance and planning of every aspect of the technology platform, which included building a scalable and sustainable Web infrastructure and architecture that allowed the user base to grow at a rate of over 500% per year. Member of the executive management group, reporting to the CEO.

- Responsible for a staff of 30 (= over 50% of the company's headcount), including the Product Management, Development Engineering, Quality Assurance and Operations departments.
- Responsible for 2 *24/7 data centers totaling 150 servers with 100K concurrent online users across the globe.
- 4 direct reports.
- Fiscal responsibility for \$4 million budget.
- In line with cost reduction strategy, closed down New York technology center, opened office in Canada and outsourced portion of development to India, and hired over 20 staff.

Resume of Steven Gittleson

PROFESSIONAL EXPERIENCE CONTINUED.

Netcreations, Inc., New York, NY **Chief Technology Officer**

August, 2001 to August 2004

Netcreations is the leading provider of digital marketing solutions to Fortune 500 clients. In 1996, Netcreations pioneered the "Double Opt-in" list building process which anti-spam groups, legislators and industry trade groups agree is the highest form of permission. (Netcreations was then owned by Italian Telcom). Member of executive management team responsible for overall business strategy and corporate financial management. Responsible for alignment of technology to short and long term business needs. Developed, implemented and supported all IT planning and operations.

- Responsible for monitoring and overseeing multiple projects across the U.S. and European entities – total budget \$5million.
- Established XP based SDLC processes that included training and implementation and ongoing mentoring to ensure compliance with the new process.
- Day to day project manager of 20 Java developers, 3 QA personnel and 3 Oracle DB programmers in U.S. & Canada.
- Established "best practices" in software development and quality control and performed quarterly reviews to ensure standards were maintained.
- Transformed Perl-based development team to Java-based development team despite a 25% cut in IT department, no staff with the required skill set, and all while moving over to new technology.
- Guest Speaker for Oracle and IBM. Quoted in trade papers on topics relating to project management using XP, down-sizing, database security, Oracle 9i and Linux vs. Microsoft. See links for more info: http://goliath.ecnext.com/coms2/gi_0199-977936/NetCreations-Vice-President-of-Technology.html / <http://www-03.ibm.com/press/us/en/pressrelease/256.wss>

Metiom, Inc., New York, NY **VP Development**

August, 1999 – July, 2001

Metiom (formerly Intelisys Electronic Commerce) was a Business-to-Business procurement software development company.

- Responsible for international implementation of Oracle 11i financials, including Contracts and Projects modules, Siebel Enterprises Call Center and Sales modules, and integration of Oracle Financials and Siebel.
- Interfaced with product management group with regards to requirements gathering and building use cases for development team and assigned work based on project roadmap.
- Assisted re-engineering efforts, including performing employee evaluations, establishing goals and implementing strategy.
- Planned and managed full life cycle implementation of Siebel Systems CRM (Sales & Call Center and related modules).
- Developed in-house custom billing module for seamless integration of Oracle Financials 11i and Siebel CRM.
- Managed integration of Vignette's Storyserver with custom-built supply chain management application.

Nextec Group LLC **Los Angeles, California** **Senior Project Manager**

July, 1996 – July, 1999

Nextec Group LLC ("Nextec") is the largest Microsoft ERP software reseller in California, with 70 employees, specializing in the integration of Great Plains ERP financial software to a multitude of front-end systems, including e-commerce and proprietary systems.

- Led project planning and design, covering business and technical areas. Project sizes spanned 300 to 2,000 hours.
- Managed client relationships from project inception to completion to post-implementation.
- Held leadership positions on clients' technology steering committees, advising on IT strategy, standards, and budgeting.
- Customized accounting systems to meet business process requirements.
- Integrated custom developed e-Commerce solutions to MS BackOffice and Great Plains accounting systems, often using Microsoft's Commerce suite (Site server, Commerce Server).
- Designed, tested and implemented disaster recovery systems across multiple industries (see table below).
- Supervised simultaneously teams comprising client staff and consultants at different clients.
- Managed and developed relationships with key vendors and their technical representatives.
- Lead instructor of training sessions for client management, client staff and Nextec staff.
- Guest speaker at Microsoft executive briefings (1997~1999)

Resume of Steven Gittleson

PROFESSIONAL EXPERIENCE CONTINUED.

Significant ERP and CRM Projects Under My Management at Nextec Included:

CLIENT	INDUSTRY	LOCATION	YEARS AT CLIENT
Fox Broadcasting Corp.	Entertainment	Los Angeles, CA; New York, NY	3
Buy.com	Retail/E-commerce	Irvine, CA; United Kingdom	3
USA Broadcasting Corp.	Entertainment	Los Angeles, CA; Miami, FL; NY, NY	2
LA Care	Healthcare	Los Angeles, CA	2
Apollo Advisors	Financial Services	New York, New York	3
Realtor.com	Internet/E-commerce	Thousand Oaks, CA; Dallas, TX	1
Card Service International	Retail Financial Services	Calabasas, CA	3
Tyco International	Manufacturing	Los Angeles, CA	1

Newcom Technologies, Johannesburg, South Africa; Gaborone, Botswana
Founder and CEO

December 1988 – June 1996

Newcom provides accounting and operational software solutions consulting and implementation for middle-market companies.

- Founded business – grew from staff of 2 to 20.
- Implemented and customized hotel property management applications and point of sale integration using Fidelio, Micros 2700, 4700 and ReMACS (back-office).
- Developed and implemented add-on modules to ERP solutions (Oracle, and Great Plains) as the foundation for enhancing inventory, distribution and billing modules for the retail and hotel & leisure industries.
- Created network designs and layouts in both LAN and WAN environments (Novell & MS NT).
- Led daily management of operations and treasury.
- Undertook projects in several African countries outside South Africa including Botswana, Angola and Mozambique and worked closely with the United Nations Development Fund (UNDP).
- Managed Accpac, Great Plains Accounting implementations (approx. 45).
- Developed and integrated warehouse inventory systems and retail Point of Sale systems.
- Sold business to immigrate to the USA in 1996.

EDUCATION

University of Witwatersrand, South Africa
Bachelor of Commerce

1986 - 1988

- Major: Information Systems and Accounting



Emily A. Kim

LEGAL EXPERIENCE

Success Academy Charter Schools, New York, NY
Chief Legal Officer and General Counsel

August 2011 – Present

- Navigate Success Academy's initiatives and new programming through various laws and regulations.
- Strive to reform bureaucratic processes that pose obstacles to charter school growth, operations, and innovations.
- Conduct and oversee merger of charter schools and charter applications.
- Manage outside counsel in various litigation.
- Ensure school compliance with legal and charter school authorizer requirements.
- Guide the vision and direction of the organization as a member of senior management team, manage legal team of six.

Arnold & Porter LLP, New York, NY
Litigation Associate

May 2008 – August 2011

Experience

- Argued motions in New York State Supreme Court.
- Presented opening argument in theft of trade secrets case in federal district court.
- Conducted and defended depositions; prepared witnesses to testify in court and at depositions.
- Served as senior associate managing teams of attorneys in briefing, legal research, and large-scale discovery tasks.
- Drafted a wide variety of motion (and related) papers on behalf of plaintiffs and defendants in complex federal and state matters and an arbitration matter, including: summary judgment papers, motions to dismiss, emergency motions for injunctive relief, Wells submission, *amicus curiae* brief in the Second Circuit, motions *in limine*, pre-trial brief, jury instructions, joint pre-trial orders, trial and mediation presentations, complaints and counterclaims, settlement agreement, legal memoranda advising on legal options and arguments, and all manner of discovery papers.
- Prepared presentation for and participated in successful client pitch.
- Assisted in substantial revision of published ethics article to reflect New York's new ethics rules for attorneys.

Representative Clients and Matters

- Publicly traded technology company in complex breach of contract and fraud action
- Publicly traded information technology management company in arbitration concerning software licensing dispute
- U.S. bank in foreclosure and related actions
- Major clearing firm in securities class action
- Large money market fund commenting on a Notice of Proposed Rulemaking under the Dodd-Frank Act
- Hedge fund trader facing investigation and charges by the Commodity Futures Trading Commission
- Broker-dealer firm facing investigation and charges by the Financial Industry Regulatory Authority, Inc.
- International securities clearing firm as *amicus curiae* in dispute concerning bonds held in trust for Argentina
- International mining company in joint venture contract dispute

Pro Bono

- Defended public charter school in NY Supreme Court litigations challenging the co-location of the school with traditional NYC Department of Education schools in a public school building.
- Defended elderly client against threatened eviction in housing court.

Hon. Dora L. Irizarry, U.S. District Court, EDNY, Brooklyn, NY
Law Clerk

April 2007 – April 2008

- Drafted opinions and bench memoranda; performed related research.
- Prepared for trials, hearings, oral argument, conferences.
- Worked on a wide range of federal and state law matters, including copyright, trademark, securities, insurance fraud, civil rights, employment discrimination, labor, bankruptcy, contract, *habeas corpus*, social security, and criminal law.

Shearman & Sterling LLP, New York, NY
Litigation Associate

October 2005 – March 2007

- Drafted motion to compel, research memoranda, deposition outlines, and witness interview memoranda for SEC defense case and related securities class action; drafted motion to dismiss in fraud case.
- Prepared memoranda on legal issues, including deepening insolvency law and e-document preservation obligations.
- Attended interviews for internal investigation within reinsurance company.
- Managed document collection and review and conducted related client interviews.
- Conducted acquisition due diligence for merger target's potential litigation liabilities.
- Prepared affidavits in *pro bono* asylum case and articles of incorporation for a non-profit.
- Summer associate in International Arbitration (Paris) and Asset Management (NY), 2004.

United States Attorney's Office, Criminal Division, SDNY, New York, NY

Spring 2005

Intern: Drafted research memorandum on Sentencing Guidelines issue. Observed trials, pleas, sentencing hearings.

Professor Elana Sigall, Columbia Law School, New York, NY

Spring 2005

Research Assistant: Researched education law issues; assisted in revision of education law course syllabi.

United Nations, Office of Internal Oversight Services, Investigations Division, New York, NY

Spring 2004

Intern: Reviewed the Investigations Division manual for compliance with relevant UN Administrative Tribunal decisions.

Professor Roy S. Lee, Columbia Law School, New York, NY

2003 – 2004

Faculty Assistant: Translated article on Rome Statute from French to English.

Honorable Joseph M. McLaughlin, United States Second Circuit Court of Appeals, New York, NY

Summer 2003

Intern: Researched and drafted bench memoranda and opinions on habeas petitions and successive collateral challenges.

EDUCATION EXPERIENCE

Northeast Growth and Development Center, Philadelphia, PA

2001 – 2002

Education Director

Managed early intervention program for children ages 0-3 with developmental delays. Drafted Individualized Family Service Plans. Assigned speech language therapists, occupational therapists, physical therapists, counselors, and special instructors to provide services to children in their homes. Conducted home visits with staff.

Community College of Philadelphia, Philadelphia, PA

2001 – 2002

English Instructor

Taught freshman composition and literature part-time evenings to classes of 20 students. Focus on relevant, student-centered readings and discussions of texts and writing skills.

Lycée Lansana Conté, Guinea, West Africa

2000 – 2001

Volunteer English Teacher

Taught four high school English language classes of 20 to 60 students in Labé, Guinea, through the International Foundation for Education and Self-Help. Wrote articles for a newsletter regarding education, gender, equity issues.

Roslyn High School, Roslyn, NY

1999 – 2000

English Teacher

Taught four high school English literature classes in freshman and senior grades, including one honors English class. Led a writing workshop. Focused on deconstruction of literature, group discussion, and process writing.

The Bronx High School of Science, Bronx, NY

Spring 1999

Student Teacher – 10th grade English Literature Class

The Center School, New York, NY

Fall 1998

Student Teacher – Middle School English Literature Class

School District of Philadelphia, Philadelphia, PA

1997 – 1998

Program Assistant, Special Education Department (Family Resource Network)

Wrote grant proposal for initiatives to eliminate truancy. Created and maintained special education website. Monitored school compliance with Individuals with Disabilities Education Act.

EDUCATION

Columbia Law School, New York, NY

Juris Doctor, May 2005

Honors: James Kent Scholar, 2003-2004
Parker School Recognition for Achievement in International Law, 2005

Temple University, Beasley School of Law, Philadelphia, PA

Matriculated 2002-2003

Honors: Top 5%
Temple University Law Review (invited)
Dean's List
Best Appellate Brief Notation
Horace G. Brown Scholars in Law Scholarship

Columbia University, Teachers College, New York, NY

Master of Education, Teaching of English, October 1999

Thesis: *American History: Asian American Students in the English Classroom*

Honors: Kappa Delta Pi Honor Society
Minority Scholarship

University of Pennsylvania, Philadelphia, PA

Master of Arts, English, May 1997

Bachelor of Arts, *cum laude*, English, May 1997

Honors: Dean's List, 1995-1996
Selected as submatriculant (simultaneous BA/MA)

Activities: Intramural softball, Captain (four years)

ATTORNEY ADMISSIONS

New York, United States Court of Appeals for the Second Circuit, United States District Court for the Southern District of New York, United States District Court for the Eastern District of New York

ACTIVITIES AND PROFESSIONAL AFFILIATIONS

- Serve as Chair of Orientation Committee, Joint Minority Bar Judicial Internship Summer Program; plan and present full-day orientation and writing workshop for interns, 2010-2012.
- Organized Minority Federal Clerkship Panel, including judge panelists from the Second Circuit and Southern and Eastern Districts of New York, March 2011.
- Attended week-long National Institute for Trial Advocacy Program, August 2009.
- Member, Asian American Bar Association of New York, Korean American Lawyers Association of Greater New York.
- Organized attorney recruitment event for 2008 voter protection efforts; advised 2008 Ohio congressional campaign on voter protection issues; monitored polls in Charlotte, North Carolina on Election Day 2008.

MarkFogel, SPHR/GPHR

SUMMARY

Innovative and national award winning Chief Human Resource Officer, Change Agent, and Thought Leader. Broad corporate experience includes mergers, acquisitions, and consolidations. Recipient of the Society for Human Resource Management (SHRM) National Human Capital Leader of the year award (2007), Economic Stimulus Award for Innovative Development programs (2009), Long Island Business News 50 most influential business leaders (2009), HR Executive Magazine HR Honor Roll (2010) and "HR Best Ideas for 2012", Adelphi University Teaching Excellence award for 2013.

WORK EXPERIENCE AND ACCOMPLISHMENTS

Human Capital 3.0, Jericho, New York

2013-Present

Co-Founder for boutique national HR advisory firm servicing clients across a broad spectrum of industries.

Marcum Group, Melville, New York

2011-September 2013

Chief Human Resource Officer: for 14th Largest Accounting and Advisory firm nationally with 6 ancillary businesses: Search, Technology, Real Estate, Alternative Investment, Investment Banking and Financial Services, 23 offices in 3 countries. Hired to build the HR function from the bottom up. Reporting to the CEO-Managing Partner and serving on the firms operating committee, with full oversight for all aspects of Human Resources, Training and Development across the seven business enterprise. Consolidated 3 benefit plans into one national plan within first 90 days. Created core competency driven performance management program (by business/function) rolled out in June 2011. Created a common mode of operating for HR across the enterprise (processes, policies and procedures). Introduced Holistic Wellness program (Education, Diagnostics, and Programming) with employee participation incentives, January 2012. Facilitated all HR aspects of 8 acquisitions (7 accounting firms and 1 recruiting firm). Introduced firm wide Employment Branding program August 2012 creating a look and feel for all Recruiting, internal communication and social media collateral ("*Marcum Human Resources*", "*Marcum Wellness*", "*Marcum University*").

Adelphi University, Garden City, New York

2011- Present

Adjunct Professor Graduate School of Business: *Part time* Professor teaching Global Human Resources and Social Media to graduate business, nursing and psychology students. Recipient of HR Executive Magazine "Best HR Ideas for 2012". Created curriculum and implemented Adelphi's first graduate level course in Social Media. Facilitator for Adelphi HR/Workplace information lecture series. Recipient of University Teaching Excellence Award 2013.

Leviton Manufacturing. Inc, Melville, New York

2000 - 2011

V.P. of HR and Administration - Chief Human Resource Officer: Reporting to the CEO and serving on the corporation's Executive- Operating Board, responsible for complete HR oversight of all corporate and

regional facilities throughout North America, Asia, India, Europe, South America, and UAE (over 8,500 employees with a peak of 12,500 in 2003). Promoted three times. Responsible for over \$50mil SGA. Lead the strategy, structure, performance, and development of HR and Administration teams (Public Relations, Safety, and Facility Mgmt.)

- Implemented a strategic objective process in 2006 aligning top 100 executives to corporation's goals. This process acted as a key lever in returning the corporation to sustained profitability in 2006 and 2007.
 - Implemented innovative HR programs including balanced scorecard, Wellness initiative, Competency based performance systems and review, corporate "green" initiatives, and Web 2.0 talent and recruitment initiatives.
 - Successfully migrated Leviton Domestic business to a completely non Union Environment shifting or eliminating over 1000 union positions to non-union from 2005-2009.
 - Directed the relocation and build out of the corporation's new global headquarters over an 18 month period (12/07 – 5/09) with a budget exceeding \$24mil. Delivered on schedule and budget.
 - Facilitated all HR aspects of 5 acquisitions, global expansion into Asia, Europe and the Middle East, and the consolidation of manufacturing plant and distribution/ warehousing over a 9 year period.
 - Managed Corporation's E-Commerce, Customer Technical support and Call Center fulfillment operations (2003 – 2007), with \$650mil annual thru put and 1.8 million avg. unit daily processing. Supervised 3 Directors.
 - Implemented domestic Affirmative Action Plan (2010) including compliance, tracking software, and education.
- Implemented and developed national award winning programs and processes to ensure a creative, innovative employee life cycle from offer to termination (**3 national HR awards**).

The Limited Inc, New York City, NY

1997 – 1999

Human Resource Director: Initially responsible for corporate staffing and employee relations for Lerner NY and Limited's NYC Technology group. Promoted to direct store HR functions to support the field operation of 8,000 employees. Supervised two managers. Led all field HR programs and services.

Century 21 Department Stores, New York City, NY

1993 – 1997

Director of Operations and HR: Responsibilities included directing all operations and HR functions for Century 21 retail locations. Promoted twice: Human Resources Director to General Manager (1994) and then to Director of Operations and Human Resources (1996).

R.H. Macy's, Various locations

1985 – 1992

Operations Executive: Started as executive trainee (Macy's Executive training Program) and promoted seven times through Merchandising, Operations, and Human Resource positions.

EDUCATION

Degrees

- Masters of Professional Studies, Adelphi University, Garden City, NY 1985
- Bachelor of Arts, SUNY New Paltz, NY 1982

Certifications

- Senior Professional in Human Resources (**SPHR**) designation (2002) and Global Professional in Human resources (**GPHR**) designation (2008)
- Leadership Development (CCL) and 360 Degree Feedback Facilitator (CCL, and PDI)
- Predictive Index Behavioral Modeling Analyst (PI)
- Myers – Briggs Type Indicator Administrator (CAPT)
- Six Sigma Champion (Leviton – 2002)

OTHER

- **Recipient 2007 Society for Human Resource Management (SHRM) Human Capital Business Leader of the year award and SHRM - Economic Stimulus award (2009)**
- **Recipient Long Island Business News 50 most influential business leaders (2009)**
- **Recipient HR Executive Magazine National Honor Roll (2010) and "Best HR Ideas for 2012"**
- **Recipient Adelphi University President's award for teaching Excellence 2013**
- **Adjunct Professor-** Fashion Institute of Technology ("FIT"), NYC, Fashion Merchandising Division (1998-1999)
- Published: "Enrichment Programs Help Leviton Manufacturing Build Teamwork and Growth" (Journal of Organizational Excellence, 2002, Vol. 21, No. 4, pgs. 43 -48)
- **Workshop Presenter: SHRM Annual Conference 2012 – "Going Global"** and Enrichment Programs" (World at Work 47th Annual Conference (2002) and SHRM Annual Conference (2005))
- Workshop Presenter "Strategic Healthcare programming during ACA" World Health Congress April 2013
- Workshop Presenter "Developing Leadership for the Future" (I.M.P.A.X Congress for Senior Manufacturing and Supply Chain Leadership 2008)
- Article Reviewer for World at Work "Workspan" and "Journal" (2003 – Present)
- Research project reviewer for SHRM foundation annual research project (2007 and 2008)
- Multiple editorial and articles published World at Work's "Workspan", and "HR Management" (GDS International, Inc.)
- Contributor to Thompson-Reuters Chief HR officer series Leadership publication (Chapter author) **Inside the Minds-** CHRO, Dec. 2008 – Aspatore Press
- Board of Directors Huntington Chamber of Commerce (2009- Present)
- Molloy College Business Advisory Council (2009- Present)
- SHRM national instructor for Strategy, Org. Development, SPHR/PHR prep courses
- SHRM – CHRO initiative region leader (New York tri State)

Dennis McIntosh

Chief Financial Officer – Visionary and Inspirational Leader

A highly accomplished and seasoned **Chief Financial Officer** with a wealth of achievements and experience of defining and successfully implementing visionary strategies for the smooth functioning of multinational finance operations. Benefiting from strong leadership and mentoring skills and the proven ability to communicate effectively at all levels, enables the building of respectful trusting relationships with key stakeholders and business partners. With a balanced and positive approach to enforcing excellent financial management and efficiently handling roles with increasing responsibility across multiple locations, this well organized and collaborative professional consistently delivers under pressure in fast paced environments.

Skills

Business Leadership teams	Strong and decisive Management of multi-disciplined and multi-cultural
Financial Reporting Accountant	GAAP, IFRS certified, active CPA & Chartered Global Management
Strategic Planning strategies	Defines and directs the delivery of visionary and innovative financial
Risk Management crisis	Assesses & mitigates risk in financial portfolio investment, insurance, and
Change Management disruption	Successfully drives & implements significant changes with minimal
Integrated Technology application management	Full understanding of platforms including cloud storage, web-based operations and SDLC (system development life cycle) and project
Treasury Management management	Comprehensive abilities including relationship management, lines of credit, foreign currencies, bank transfers, funds reporting and transaction
Investment Management IPOs	Rounded experience in investment manager selection, pricing, allocation, investment strategy, venture capital acquisition, business plan modeling,
Stakeholder Relationships Shareholders,	Builds strong relationships in the reporting and management of stockholders, Boards of Directors and related compliance committees

Education & Qualifications

B.A. Psychology, Business, Biology with Honors	Andrews University
M.B.A. Accounting	University of Connecticut
Certified Public Accountant (CPA) – Active	State of Massachusetts; License #10140
International Financial Reporting (IFRS) Certified & Chartered Global Management Accountant (CGMA)	

2012 – 2014 ORBIS International, Inc., New York, NY, USA

A global eye care humanitarian organization with \$170M in revenues, \$55M in assets, and 230 employees providing eye health in developing countries in the form of training, treatments, and surgeries. In 2012 ORBIS trained over 20,000 medical professionals, provided over 4.5M eye treatments, and 55,000 eye surgeries.

Chief Financial Officer

Responsible for the fiscal vision and leadership of the global organization including all finance planning, technology & insurance control systems, and directing the development of financial reports for management and Board of Directors. Providing direction and hands-on-management, overseeing risk management, budget & cash management, forecasting, accounting & audit, while supporting overarching global growth strategies.

Key Achievements

- Selected and implemented a global budget and reporting system supporting a single technology platform
- Introduced activity based costing, budgeting and external reporting in both GAAP & IFRS reporting
- Drafted and implemented financial policies for reserve management, capital expenditure, travel & expense reimbursement, foreign exchange, activity based costing, full cost allocation, and cash forecasting
- Improved global cash management through account consolidation and introducing daily balance reporting
- Negotiated \$3 million dollar line of credit for this non-profit organization
- Established internal audit function – ex-official member for both Audit & Finance Committees
- Led the design and development of a global technology roadmap encompassing 14 global locations
- Instituted a comprehensive risk management program, including investment portfolio, foreign exchange practices for 18 currencies, insurance coverage, and individual / organizational safety and security
- Established the trustee role and reporting for the 403b fiduciary oversight

2010 – 2011 US Energy Group, Inc., Fresh Meadows, NY USA

A cutting edge technology based company supplying commercial building energy management controls

Chief Financial Officer (Investor)

Responsible for a variety of functions including implementing monthly financial reporting, project management, and human resources management

Key Achievements

- Designed and implemented supply-chain management with monthly scorecards
- Negotiated \$1.5M working capital loan
- Established an authorized System Integrator distribution network across North America
- Formulated and implemented shareholder's exit strategy resulting in the sale of the company

2008 – 2010 Altruik, Inc., New York, NY USA

An innovative venture funded search engine optimization Startup Company

Chief Financial Officer (Investor & Founder)

As a co-founder, led business plan development and execution, and won investor funding to support the launch of the business

Key Achievements

- Negotiated friends & family \$2m common stock and preferred stock offerings, bank convertible debt and receivables financing arrangements
- Obtained \$7m in venture capital funding as exit strategy for founding shareholders

1999 – 2007 SBLI USA Life Insurance Company, Inc., New York, NY USA

A national life insurance company with \$200 million in annual revenue, \$1.6 billion in assets, 400,000 customers, and 265 employees in six locations

Senior Vice President / Chief Financial Officer

Reported to the CEO as the senior finance executive and a member of the Board of Directors with a span of control over 120 employees through six direct reports, and ultimately exited the company due to merger

Key Achievements

- Established all financial functions including general ledger, portfolio and cash management, financial analysis and reporting, capital planning, SOX, statutory/GAAP/IFRS reporting, treasury/investment, tax and daily operational reporting
- Led the consolidation of 14 life insurance funds including the securitization of \$700 million of residential mortgages, and the conversion of 400,000 paper customer files into data images
- Created and maintained the 5-year strategic planning process with annual updates, used for both Board and AM Best presentations
- Established a comprehensive reinsurance program, limiting retention to \$250,000 and spreading overall liability risk by 20% (about \$300 million)
- Acquired a 50 state licensed life & health shell to accelerate product growth and geographical expansion
- Worked with New York Insurance Commissioner and investment banker to develop SEC Form S1 filing for demutualization/IPO
- Directed over \$30 million in technology investments, meeting ROI criteria, to establish company's IT infrastructures and meet information requirements
- Developed health, life and annuity investment products generating over \$100 million in sales, while producing an average 10% ROI over two years

1997 – 1999 Ernst &Young, LLP, Boston, MA, USA

A multinational professional services firm headquartered in London, England, the third largest professional services firm in the world by aggregated revenue in 2012 and is one of the "Big Four" accounting firms.

Senior Manager

Member of the Insurance Advisory Group for this global accounting and consulting services firm

- Developed and maintained client relationships with major insurance companies
- Planned and managed consulting projects including P&L, staffing, scheduling and high level client interface
- Executed numerous finance and technology projects, primarily systems design and implementation around provider contracts, pricing & strategies

Key Achievements

- Designed and installed a web-based training and G/L system for 45,000 users
- Performed a data warehouse assessment and implementation for a \$2 billion company
- Developed implementation plan for outsourcing a major insurance company's technology services
- Developed and sold \$10M of consulting services

1993 – 1997 Blue Cross Blue Shield of Massachusetts, Boston, MA, USA

A \$4 billion health insurance company

Vice President, Financial Operations

Reporting to the Division President, directed the Operations Finance Group, supervised 500 employees through six direct reports, and assumed responsibility for managing a \$100M outsourced services contract, provider contract processing, customer/provider enrollment, and claims processing.

Key achievements

- Took control of a previously ungoverned technology services outsourcing contract with EDS, reducing spend rate from \$150 million to \$120 million while improving quality and timeliness of technology delivered
- Applied Six Sigma methodologies to save \$2 million per year in paper processing.
- Saved \$3 million per year by implementing a scan-able enrollment form using ICR and saved another \$600,000 per year by introducing imaging and work-flow claims processing for enrollment
- Seamlessly relocated 200 employees over 40 miles and replaced 60% of the workforce while maintaining high service levels
- Managed a \$250 million budget with a surplus each year for five consecutive years
- Led audit teams on financial, internal controls and data processing audits for this telecommunications service and manufacturing company

Public / Private Board Experience

2002 – 2006 Intelligroup, Inc., Edison, NJ, USA (NASDAQ registered technology company)

Audit Committee Chairman, Compensation Committee member, and Financial Expert

- Shareholders, SEC reporting - 10Q, 10K, Proxy, Forms, Sarbanes Oxley, etc.

1999 – 2007 SBLI-USA Life Insurance Company, Inc., New York, USA

Ex-Officio Member for the Audit, Investment, and ad hoc Board Committees

- Responsible for preparation and presentation of quarterly Board materials

2003 – 2007 Banyan Capital, Miami, FL, USA

Board Member for this Small Business Investment Company (SBIC) which targeted mezzanine equity and debt investments in companies with \$2M or more in revenues

2007 – 2010 Altruik, Inc., New York (startup technology company)

Board Member

2010 – 2012 US Energy Group, Inc., Fresh Meadows, NY, USA (startup energy company)

Board Member

Non-Profit Board Experience

Summit Academy Charter School, Red Hook, Brooklyn, NY, USA
ORBIS Macau Association, Macau (China)

Columbia University, New York, NY, USA
– Workforce Outsourced Services
– Masters Technology Program Mentor

ARC, Minute Man for Human Services, Concord, MA, USA

Ann Powell

PROFILE

Energetic, innovative editor, writer, and manager, with a track record for motivating and leading creative teams in production of content across multiple platforms—while staying on budget and on schedule. Adaptable manager with strong technology background and excellent project-management, problem-solving, and communication skills. Experienced in developing, producing, and marketing tablet editions.

SKILL SUMMARY

- ♦ Tablet and e-reader expertise
- ♦ Workflow analysis/optimization (print to digital)
- ♦ Adobe InDesign/InCopy/K4 6.4 proficiency
- ♦ Adobe DPS facilitator/manager
- ♦ Budget analysis/control
- ♦ Contract Negotiation
- ♦ Project Management
- ♦ Magazine launch specialist
- ♦ Operational efficiency consultant
- ♦ Outstanding communication skills
- ♦ Word Press and Constant Contact experience
- ♦ Communications consultant for nonprofit

EXPERIENCE

SUCCESS ACADEMY CHARTER SCHOOLS

2012 – present

Editorial Consultant, Development

Write and edit a variety of communications: grant reports and proposals, business plans, charter applications, technology summaries.

READER'S DIGEST

2008 – 2012

Managing Editor

Supervised Rights and Permissions, Research, Copy, and Production departments, overseeing 18 staff and freelancers. Responsible for budget, schedule, quality control of nine different print and digital editions of the magazine, as well as coordination of sharing content with web and international editions.

- Revamped magazine's editorial operation in 2010 by installing Adobe CS4 and K4 6.0., then streamlined workflows for U.S. magazine, Large Print edition, and Kindle e-reader.
- Worked closely with editor-in-chief to reorganize and restructure staff, eliminating and consolidating positions to reduce editorial budget from \$9.6 million to \$6 million over four years. During the company's emergence from bankruptcy, and consequential staff reduction of 40 percent, my leadership kept the editorial staff focused and productive, leading the team to generate new digital products.
- Initiated the idea for a *Reader's Digest* iPad app and supervised the process from start to finish. Recruited and hired consultants and staff; brainstormed editorial, art, and interactive components. Developed video production strategy and budget. The *RD* app was ranked among top ten best U.S. magazine apps for iPad by McPheters & Company's iMonitor in 2011.
- Collaborated with outside vendors to build one of the first in-app storefronts, which allowed Reader's Digest to market e-books.
- Led creative team in producing the Kindle Fire app in 7 weeks.
- Negotiated distributor/business relationships with Amazon, Barnes & Nobles, and Sony.

CONDÉ NAST PUBLICATIONS

2006 – 2008

Assistant Managing Editor, *Condé Nast Portfolio*

Responsible for creating and implementing workflows and procedures for start-up magazine and website; trained staffs in desktop publishing programs; coordinated work of photo, art, research, copy, and production



departments, as well as reporters, writers, and editors. Organized inventory of writers' assignments and initiated issue planning for executive staff more accustomed to editing for daily newspaper. Set schedules and deadlines.

HEARST MAGAZINES

2005 – 2006

Managing Editor, *Weekend*

Spearheaded editorial operations for magazine launch: hired research, copy, production staff; created workflow and procedures; trained staff; managed budget.

RODALE

2003 – 2005

Managing Editor, *Organic Style*

Managed editorial operations (copy, research, production staffs); coordinated schedules and set priorities. Researched and deconstructed specific expenses for fashion and other highly styled and produced photo shoots to provide editor-in-chief with detailed analysis and accurate estimates for creating her editorial vision. This well-documented analysis resulted in corporate approval of a revised budget.

EARLIER EXPERIENCE

AARP, Washington, DC / New York, NY

Executive Managing Editor, *AARP: The Magazine*

Managing Editor, *My Generation*

MEIGHER COMMUNICATIONS, New York, NY

Managing Editor, *Garden Design*

Consulting Editor, *Saveur*

CONDÉ NAST PUBLICATIONS, New York, NY

Assistant Managing Editor, *Vanity Fair*

FAMILY MEDIA, New York, NY

Managing Editor, *Savvy*

SOUTHWEST MEDIA, Dallas and Houston, TX

Assistant Editor; Copy Editor; Managing Editor, *Houston City Magazine*

COMMUNITY SERVICE

KANE STREET SYNAGOGUE

2000 – present

Communications Consultant

Serve as pro bono writer, editor, online producer, and designer on multiple projects: brochures and marketing materials, web development, fundraising appeals, e-newsletters, and social media.

Collaborate with administrative and spiritual staff as well as lay leadership.

EDUCATION

B.A., English and Latin

Austin College, Sherman, TX

AFFILIATIONS

American Society of Magazine Editors, 1988 — present

Scott Sobelman



- Business Leadership:** Strong and pivotal staff leadership experience at various disciplines across Finance, Human Resources and Operations. Planned and implemented the strategic expansion of the Finance Team to accommodate for rapid expansion from 7 schools in 2011 to 34 schools in 2015.
- Accounting Systems:** Extensive experience leveraging technology to effectively manage financial operations using Quickbooks, Netsuite, Oracle People Soft, Blackbaud Financial Edge and Raiser's Edge, Microsoft Dynamics AX and BI360. Led two key ERP G/L implementations.
- Treasury/Cash Flows:** Implemented the 18-month cash flow forecast and review of outstanding and anticipated funding opportunities. Secured a \$7 million line of credit. Directing a \$50 million municipal bond offering
- Revenue/Grant:** Managed over \$20 million in CSP grants to continue to replicate and expand Success Academy Charter Schools.
- Government Reporting/Auditing:** Extensive experience in GAAS; Comprehensive knowledge and understanding of all state and federal reporting requirements for the management of public funding

EXPERIENCE

**Assoc. Dir. of Finance – Treasury Success Academy Charter Schools, Inc. New York, NY
2011-Present**

Accomplishments:

- Directed a proposal to issue a \$50 million municipal bond offering to finance the construction of a new facility space for Success Academy Charter Schools Education Institute, a dynamic and innovative new teacher training and certification program
- Negotiated a \$7M line of credit to ensure future cash reserves
- Launched a 529-college savings plan to provide the organization with an investment vehicle for managing scholarships and matching contributions awarded to scholars
- Redesigned and restructured the General Ledger and Chart of Accounts to be in compliance with GAAP.
- Developed the financial policies and procedures which were utilized in the first merger of charter schools in New York State; policies and procedures were later adopted by the New York State Education Department
- Awarded 15 new charters by the Charter Schools Institute of the State University of New York

Responsibilities:

- Managed a Treasury team overseeing the day-to-day banking operations and \$220 million in cash flow for of 35 entities, including 34 charter schools throughout New York City, as well as the network office.
- Managed the development of a custom-designed enterprise resource planning management system to be utilized across the entire operations of the network.
- Responsible for monthly, quarterly and annual financial reporting for the internal consumption of the Board of Directors and senior leadership of the organization as well as for external purposes to meet financial disclosure requirements outlined in our charter agreements with the State University of New York

- Prepared tax and governmental filings, including the recently revised IRS Form 990 and the Department of Labor Form 5500
- Directed annual financial statement audits for all reporting entities as well as grant audits from the US Department of Education and New York State Education Department. Defended the Network Office in an IRS audit of the 501c3 status of the organization.

**Assistant Controller
2008-2011**

American Historical Association,

Washington, DC

Accomplishments:

- Led the financial implementation of a new Association Management Software Package which tracked all membership data as well as revenues, deferrals and accounts receivable
- Negotiated contracts with new service providers for office materials and payroll providers which led to a reduction in overhead expenses by nearly \$150,000 (10%) from FY 2008 to FY 2009
- Implemented an e-business presence and established an online payment platform for membership renewals, advertising purchases and publication purchases.

Responsibilities:

- Essential in the preparation of an annual operating and capital budget
- Responsible for monthly, quarterly and annual financial reporting for the Board of Directors and senior leadership of the organization
- Managed the general ledger while completing monthly bank reconciliation for eight bank accounts
- Assisted Controller and external auditor in completing a full annual audit of business operations and financial statements
- Worked in conjunction with federal agencies such as NASA and Library of Congress in administering research grants
- Managed payroll and human resources including Retirement Annuities, Health and Life insurance enrollment, and launched a Section 125 Flexible Spending Account

**Operations Accountant
2005-2008**

Aramark Sports and Entertainment

Washington, DC

Accomplishments:

- Directed the implementation of a new Terrace View Food Court including the negotiations with six subcontractors and our clients, the Washington Nationals (MLB) and DC United (MLS)

Responsibilities:

- Produced financial sales analysis from Aramark concession and retail locations in the Verizon Center and RFK Stadium
- Manage General Ledger and update Aging Balance to ensure accuracy in Accounts Receivable
- Oversaw the Depository and supervised the nightly banking process.
- Reported directly to the General Manager and the Director of Finance
- Supervised the counting and deposit of \$250,000 to \$500,000 cash and balancing the safe nightly

EDUCATION

B.B.A., Business Administration, 2007, **The George Washington University**, Washington, DC

KIRSTEN GILLIBRAND
NEW YORK
SENATOR

RUSSELL SENATE OFFICE BUILDING
SUITE 478
WASHINGTON, DC 20510-3205
202-224-4451

COMMITTEES:
ARMED SERVICES
ENVIRONMENT AND PUBLIC WORKS
AGRICULTURE
SPECIAL COMMITTEE ON AGING

United States Senate

WASHINGTON, DC 20510-3205

July 13, 2015

The Honorable Arne Duncan
U.S. Department of Education
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Dear Secretary Duncan:

I write in support of the application submitted by Success Academy Charter Schools for funding from the Charter School Program Grant for Replication and Expansion of High-Quality Charter Schools through the U.S. Department of Education. This funding will help Success Academy open new schools across New York City.

Success Academy currently operates 34 high-performing charter schools throughout New York City, serving over 11,000 students. The demand for Success Academy is tremendous: over 22,000 applicants entered a random lottery in April 2015 for just 2,317 open seats. 94% of Success Academy students passed the 2014 state exam, ranking in the top 1% of all New York State schools in Math and the top 3% in English.

The requested funding will be used to allow Success to expand its capacity by opening new schools to meet the increasing demand for its high-quality schools. This funding will help Success Academy to scale their programs more quickly, further helping to prepare New York City's children for a brighter future.

I ask that you please give this application your full consideration. If you have any questions, or desire further information, please do not hesitate to contact my staff member

Sincerely,

Kirsten Gillibrand
United States Senator

United States Senate

WASHINGTON, DC 20510

July 10, 2015

The Honorable Arne Duncan
Secretary
US Department of Education
400 Maryland Avenue, SW
Washington, DC 20202

Dear Secretary Duncan:

I write to express my support for Success Academy's application for a Charter School Program (CSP) Grant for Replication and Expansion of High-Quality Charter Schools (CFDA 84.282M).

As you may know, Success Academy operates several charter schools throughout New York City. This school year, it will serve approximately 11,000 students, a significant number of whom are low-income, minority children. This child-focused institution reflects the high levels at which Success Academy students learn. Their educational model seeks to function as one system with parents, teachers and administrators actively collaborating on each student's educational, as well as social-and-emotional well-being. They strive to develop a deep core of basic knowledge in key subject areas, as well as critical thinking and communication skills. Over the last few years, Success Academy students have demonstrated an impressive track record of achievement on multiple state and standardized exams, and are popular with participating families.

The CSP grant would allow Success Academy to better accommodate the growing number of applicants to their program in New York City at the elementary and middle school levels. Education, like that provided at Success Academy, is the very cornerstone of a healthy and vibrant democracy, and it is essential to realize the full potential of every individual's talents and abilities. Moreover, it is also a necessary component of one's ability to succeed in an ever-more demanding labor market

I hope that you thoughtfully consider the Success Academy's grant application for the Charter School Program Grant for Replication and Expansion of High-Quality Charter Schools.

Sincerely,



Charles E. Schumer
United States Senator

RANKING MEMBER
COMMITTEE ON
FOREIGN AFFAIRS

COMMITTEE ON
ENERGY AND COMMERCE

HEALTH SUBCOMMITTEE
ENERGY AND POWER SUBCOMMITTEE
ASSISTANT DEMOCRATIC WHIP

WEBSITE: <http://engel.house.gov>

FACEBOOK:
<http://www.facebook.com/RepEliotEngel>

TWITTER: @RepEliotEngel



Congress of the United States
House of Representatives

Eliot L. Engel

16th District, New York

2462 RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515-3216
(202) 225-2464

DISTRICT OFFICES:

3655 JOHNSON AVENUE
BRONX, NY 10463
(718) 796-9700

6 GRAMATAN AVENUE
SUITE 205
MOUNT VERNON, NY 10550
(914) 699-4100

177 DREISER LOOP
ROOM 3
BRONX, NY 10475
(718) 320-2314

July 14, 2015

Mr. Brian Martin
Office of Innovation and Improvement
U.S. Department of Education
400 Maryland Avenue SW, Rm. 4W224
Washington, DC 20202

Dear Mr. Martin:

I am writing in strong support of Success Academy and their application for a Charter School Program Grant for Replication and Expansion of High-Quality Charter Schools under the Charter Schools Program (CSP) (CFDA No. 84.282M). Success Academy's promising record of student achievement in English and math should be sustained, developed, and if possible replicated. With support from CSP funds, Success Academy will be able to continue to expand its reach and capacity, thereby making its program available to even more of my constituents from the Bronx and Westchester.

Success Academy currently operates six locations in the Bronx and northern Manhattan that serve many of my constituents. Students at these schools have demonstrated exceptional growth and development in most measured benchmarks when compared with their peers at other schools. Success Academy students – the great majority of whom come from families of color – regularly outperform their counterparts at other schools in New York City. Roughly two thirds of Success Academy's Black and Hispanic students are proficient in English, more than triple the citywide rate. Similarly, Success Academy students pass math proficiency tests over 90% of the time, almost twice the citywide rate.

We owe it to every child to make Success Academy's rigorous and effective program available wherever we can. I strongly support Success Academy's application and their dedication to educating children in my district. I trust that their application will receive the favorable consideration it deserves.

Sincerely,



Eliot L. Engel
MEMBER OF CONGRESS

HAKEEM S. JEFFRIES
8TH DISTRICT, NEW YORK
COMMITTEE ON THE JUDICIARY
COMMITTEE ON EDUCATION AND
THE WORKFORCE
WHIP, CONGRESSIONAL BLACK CAUCUS



Congress of the United States
House of Representatives
Washington, DC 20515

WASHINGTON OFFICE:
1607 LONGWORTH HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(202) 225-5936

DISTRICT OFFICES:
CENTRAL BROOKLYN OFFICE:
55 HANSON PLACE, SUITE 603
BROOKLYN, NY 11217
(718) 237-2211

SOUTH BROOKLYN OFFICE:
445 NEPTUNE AVENUE, FIRST FLOOR
COMMUNITY ROOM 2C
BROOKLYN, NY 11224
(718) 373-0033

JEFFRIES.HOUSE.GOV

July 14, 2015

Secretary Arne Duncan
U.S. Department of Education
400 Maryland Avenue, S.W.
Washington, DC 20202

Dear Secretary Duncan,

I write in support of Success Academy Charter Schools' application for a Charter School Program (CSP) Grant for Replication and Expansion of High-Quality Charter Schools (CFDA 84.282M).

Success Academy currently operates 34 high-performing charter schools throughout New York City, serving over 11,000 students, many of which represent traditionally underserved communities. The demand for Success Academy is tremendous. As an example, over 22,000 applicants entered a random lottery in April 2015 for just 2,317 open seats. Ninety-four percent of Success Academy scholars passed the 2014 state exam, ranking in the top 1% of all New York State schools in Math and the top 3% in English.

Success Academy seeks the CSP grant to expand its capacity to meet the increasing demand for its high-quality schools. In fact, funds from this grant would support the opening of several new schools in the coming years. By opening its doors to a greater number of children, Success Academy can positively impact more families and communities while continuing to serve as a concrete example of great public schooling.

Accordingly, I urge the Department of Education to give full and fair consideration to Success Academy's application for a federal grant award to financially support its planned growth and expansion.

Thank you in advance for your attention to this important matter.

Sincerely,



HAKEEM JEFFRIES
Member of Congress

Congress of the United States
House of Representatives
Washington, DC 20515-3214

July 10, 2015

Secretary Arne Duncan
U.S. Department of Education
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Dear Secretary Duncan,

I write to express my support for Success Academy Charter Schools' application for a Charter School Program (CSP) Grant for Replication and Expansion of High-Quality Charter Schools (CFDA 84.282M).

Success Academy currently operates 34 high-performing charter schools throughout New York City, serving over 11,000 students. The demand for Success Academy is tremendous: over 22,000 applicants entered a random lottery in April 2015 for just 2,317 open seats. I believe this is because Success Academy scholars—primarily low-income, minority children—learn at exceptionally high levels. Ninety-four percent of Success Academy scholars passed the 2014 state exam, ranking in the top 1% of all New York State schools in Math and the top 3% in English.

In order to meet the rising demand for its outstanding education, Success Academy seeks the CSP grant to. With the additional funding from this grant, Success Academy will open more schools in the coming years. Through this expansion, Success Academy can positively impact more families and communities while continuing to serve as a concrete example of great public schooling.

For these reasons, I hope that you will thoughtfully consider Success Academy's CSP grant application.

Sincerely,



Joseph Crowley
Member of Congress, NY 14

ROBIN HOOD



July 10, 2015

Secretary Arne Duncan
U.S. Department of Education
400 Maryland Avenue, S.W.
Washington, DC 20202

Dear Secretary Duncan,

I write to express my support for Success Academy Charter Schools' application for a Charter School Program (C.S.P.) Grant for Replication and Expansion of High-Quality Charter Schools (CFDA 84.282M).

Success Academy currently operates 34 high-performing charter schools throughout New York City, serving over 11,000 students. The demand for Success Academy is tremendous: over 22,000 applicants entered a random lottery in April 2015 for just 2,317 open seats. This is likely because of Success Academy's strong results. Ninety-four percent of Success Academy students met the standards for the 2014 New York State exam, ranking in the top 1 percent of all New York State schools in math and the top 3 percent in English Language Arts. The majority of Success students are low-income and through the efforts of its schools, Success is closing the achievement gap.

Success Academy seeks the C.S.P. grant to expand its capacity to meet the increasing demand for its high-quality schools. Funds from this grant would support the opening of several new schools in the coming years. By opening its doors to a greater number of children, Success Academy can positively impact more families and communities while continuing to serve as a concrete example of great public schooling.

As funders, we understand the decisions you must make in determining which applications to support. Founded in 1988, Robin Hood is New York City's largest poverty-fighting organization, which finds, funds and partners with programs that are proven to be effective remedies to poverty and a consistent force for good in the lives of New Yorkers in need. In that time, Robin Hood has strategically invested more than \$2 billion. In calendar year 2014,

ROBIN HOOD 826 BROADWAY 9TH FLOOR NEW YORK NY 10003 T: 212 227-6601 F: 212 227-6698 ROBINHOOD.ORG

Chair David Einhorn • Vice Chair Anne Dinning • Vice Chair Larry Robbins • Lee S. Ainslie III • Laura Arnold • Jacklyn Bezos • Victoria B. Bjorklund
Emma Bloomberg • Scott Bommer • Peter F. Borish • Geoffrey Canada • Cecily Carson • Katie Couric • Glenn Dubin • Marian Wright Edelman
Laurencio D. Fink • Roland Fryer • Doug Haynes • Joffrey R. Immelt • Paul Tudor Jones II • Peter D. Kiernan III • Philippe Laffont • Doug Morris
Alex Navab • Daniel S. Och • John Overdeck • Robert Pittman • David Puth • Alan D. Schwartz • David M. Solomon • Jes Staley
Barry Sternlicht • Max Stone • John Sykes • David Tepper • Harvey Weinstein • Executive Director David Saltzman

PR/Award # U282M150012

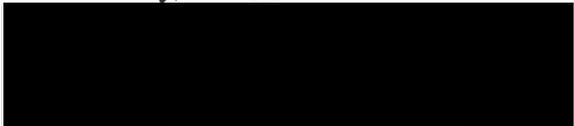
ROBIN HOOD

Robin Hood provided more than \$133 million in grants to homeless shelters, soup kitchens, job training programs, charter and public schools, and other vitally important services. Robin Hood's board of directors underwrites all our administrative costs so that every dollar raised is disbursed.

Robin Hood is the largest funder of charter schools in New York City. We have a complex system of metrics that inform our grant-making and Success Academy consistently performs well. We have been funding Success since 2009 and in that time have provided more than \$ 5.4 million in grants.

For these reasons, I hope that you will consider Success Academy's C.S.P. grant application.

Sincerely,



David Sa
Executive Director



July 8, 2015

Secretary Arne Duncan
U.S. Department of Education
400 Maryland Avenue, S.W.
Washington, DC 20202

Dear Secretary Duncan,

I write to express my support for Success Academy Charter Schools' application for a Charter School Program (CSP) Grant for Replication and Expansion of High-Quality Charter Schools (CFDA 84.282M).

Success Academy currently operates 34 high-performing charter schools throughout New York City, serving over 11,000 students. The demand for Success Academy is tremendous: over 22,000 applicants entered a random lottery in April 2015 for just 2,317 open seats. I believe this is because Success Academy scholars—primarily low-income, minority children—learn at exceptionally high levels. Ninety-four percent of Success Academy scholars passed the 2014 state exam, ranking in the top 1% of all New York State schools in Math and the top 3% in English.

Success Academy seeks the CSP grant to expand its capacity to meet the increasing demand for its high-quality schools. As one of our highest performing portfolio members, we fully support their efforts to serve more students. By opening its doors to a greater number of children, Success Academy can positively impact more families and communities while continuing to serve as a concrete example of great public schooling.

For these reasons, I hope that you will thoughtfully consider Success Academy's CSP grant application.

Sincerely,



Kevin Hall
President & CEO

July 8, 2015

Secretary Arne Duncan
U.S. Department of Education
400 Maryland Avenue, S.W.
Washington, DC 20202

Dear Secretary Duncan,

I write to express my support for Success Academy Charter Schools' application for a Charter School Program (CSP) Grant for Replication and Expansion of High-Quality Charter Schools (CFDA 84.282M).

Success Academy currently operates 34 high-performing charter schools throughout New York City, serving over 11,000 students. The demand for Success Academy is tremendous: over 22,000 applicants entered a random lottery in April 2015 for just 2,317 open seats. I believe this is because Success Academy scholars—primarily low-income, minority children—learn at exceptionally high levels. Ninety-four percent of Success Academy scholars passed the 2014 state exam, ranking in the top 1% of all New York State schools in Math and the top 3% in English.

Success Academy seeks the CSP grant to expand its capacity to meet the increasing demand for its high-quality schools. In fact, funds from this grant would support the opening of several new schools in the coming years. By opening its doors to a greater number of children, Success Academy can positively impact more families and communities while continuing to serve as a concrete example of great public schooling.

For these reasons, I hope that you will thoughtfully consider Success Academy's CSP grant application.

Sincerely,



Don Shalvey
Deputy Director | US Program



July 8, 2015

The Honorable Arne Duncan
Secretary of Education
United States Department of Education
400 Maryland Avenue, Southwest
Room 7W301
Washington, DC 20202-0100

Dear Arne:

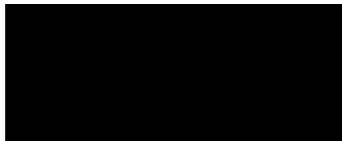
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Success Academy seeks the CSP grant to expand its capacity to meet the increasing demand for its high-quality schools. In fact, funds from this grant would support the opening of several new schools in the coming years. By opening its doors to a greater number of children, Success Academy can positively impact more families and communities while continuing to serve as a concrete example of great public schooling.

For these reasons, I hope that you will thoughtfully consider Success Academy's CSP grant application.

With best regards.



2121 Avenue of the Stars
Suite 3000
Los Angeles, California 90067
310-954-5001

July 9, 2015

Secretary Arne Duncan
U.S. Department of Education
400 Maryland Avenue, S.W.
Washington, DC 20202

Dear Secretary Duncan,

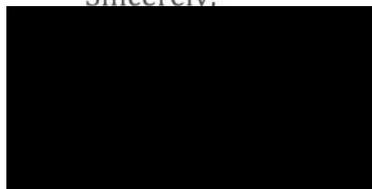
I write to express my support for Success Academy Charter Schools' application for a Charter School Program (CSP) Grant for Replication and Expansion of High-Quality Charter Schools (CFDA 84.282M).

Success Academy currently operates 34 high-performing charter schools throughout New York City, serving over 11,000 students. The demand for Success Academy is tremendous: over 22,000 applicants entered a random lottery in April 2015 for just 2,317 open seats. I believe this is because Success Academy scholars—primarily low-income, minority children—learn at exceptionally high levels. Ninety-four percent of Success Academy scholars passed the 2014 state exam, ranking in the top 1% of all New York State schools in Math and the top 3% in English.

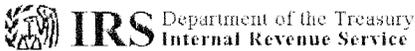
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For these reasons, I hope that you will thoughtfully consider Success Academy's CSP grant application.

Sincerely,



Program Director



P.O. Box 2508, Room 4010
Cincinnati OH 45201

In reply refer to: 4077550279
Mar. 27, 2012 LTR 4168C 0
20-5298861 000000 00
00034229
BODC: TE

SUCCESS ACADEMY CHARTER SCHOOLS INC
310 LENOX AVE 2ND FLOOR
NEW YORK NY 10027-4551



004837

Employer Identification Number: 20-5298861
Person to Contact: Sophia Brown
Toll Free Telephone Number: 1-877-829-5500

Dear Taxpayer:

This is in response to your Feb. 08, 2012, request for information regarding your tax-exempt status.

Our records indicate that you were recognized as exempt under section 501(c)(3) of the Internal Revenue Code in a determination letter issued in August 2007.

Our records also indicate that you are not a private foundation within the meaning of section 509(a) of the Code because you are described in section(s) 509(a)(1) and 170(b)(1)(A)(vi).

Donors may deduct contributions to you as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for Federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

Please refer to our website www.irs.gov/eo for information regarding filing requirements. Specifically, section 6033(j) of the Code provides that failure to file an annual information return for three consecutive years results in revocation of tax-exempt status as of the filing due date of the third return for organizations required to file. We will publish a list of organizations whose tax-exempt status was revoked under section 6033(j) of the Code on our website beginning in early 2011.

4077550279
Mar. 27, 2012 LTR 4168C 0
20-5298861 000000 00
00034230

SUCCESS ACADEMY CHARTER SCHOOLS INC
310 LENOX AVE 2ND FLOOR
NEW YORK NY 10027-4551

If you have any questions, please call us at the telephone number
shown in the heading of this letter.

Sincerely yours,



Cindy Thomas
Manager, EO Determinations

Appendix E.
a) Copy of the charter agreement

See Success Amended and Restated Charter Agreement
for all of SA schools.

AMENDED AND RESTATED SECOND RENEWAL CHARTER

**DATED AS OF
NOVEMBER 1, 2013**

BETWEEN

**BOARD OF TRUSTEES OF THE
STATE UNIVERSITY OF NEW YORK**

AND

SUCCESS ACADEMY CHARTER SCHOOLS - NYC

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DEFINITION OF TERMS

Education Corporation: as defined further herein, a New York, not-for-profit, charter school education corporation that comes into existence through the issuance of a charter and the formation of a corporation pursuant to Article 56 and §§ 216 and 217 of the New York Education Law, respectively. Each charter school Education Corporation is entitled to operate one **school** in one or more **sites** for each charter that is issued to it.

program: an element of an overall educational program that may be shared among schools within the same Education Corporation without further legal authority beyond the Charter. A program is not created by any provision of New York Education Law.

Provisional Charter: as defined further herein, the certificate of incorporation of a charter school Education Corporation. The Education Corporation has only one provisional charter even though it may have been issued more than one charter in order to operate more than one **school**. The Charter, as defined herein, is provisional because by law it is issued for a period of five (5) years or less and is not perpetual. The Charter Agreement as defined herein is not the provisional charter. The Education Corporation has one Charter, which is the Proposed Charter after approval by the Board of Regents or operation of law, and which consists of the Charter Agreement including the charter application.

school: a vehicle for the delivery of a complete educational program to students that has: independent leadership; dedicated staff; and defined facilities. An Education Corporation may have the authority to operate more than one school so long as a charter has been issued for each such school, which authority shall be noted in the Education Corporation's **Provisional Charter** (or amendments thereto). Note a school may be housed in more than one physical **site**. A school is its own Local Educational Agency (LEA) for federal program purposes except special education, its own accountability unit for purposes of federal No Child Left Behind Act (NCLB) and New York Schools Under Registration Review (SURR) accountability.

site: one of a number of facility locations for a single charter school typically representing a grade range. (For example, K-4 site, 5-8 site or 9-12 site.) A site would not be its own LEA, NCLB or SURR unit. More than one charter school building tightly clustered (i.e., a campus) would also be a "single site" under New York Education Law. Without additional authority, an Education Corporation may not educate students of the same grade level in more than one site. An Education Corporation may teach the same grade or grades at an additional site so long as it has obtained additional authority to do so through the issuance of an additional charter. The number of charters issued to an Education Corporation will determine the number of sites it may have for any particular grade even though the Education Corporation will have one provisional charter.

AMENDED AND RESTATED SECOND RENEWAL CHARTER AGREEMENT

This agreement is executed on this 1st day of November, 2013 by and between the Board of Trustees of the State University of New York (the “**Trustees**”) and the Board of Trustees of SUCCESS ACADEMY CHARTER SCHOOLS - NYC (the “**Education Corporation**”), an independent and autonomous not-for-profit education corporation under the New York Charter Schools Act of 1998 (as amended, the “**Act**”), codified as Article 56 of the New York Education Law, amends the Second Renewal Charter Agreement between the Trustees and the Education Corporation (collectively, the “**Parties**”), dated July 30, 2013, as amended to date pursuant to § 9.7 thereof, to *inter alia* permit the Education Corporation to operate six (6) additional schools, SUCCESS ACADEMY CHARTER SCHOOLS – New York 1-6, pursuant to Education Law § 2853(1)(b-1), for which six (6) additional charter will be issued pursuant to the Act (**RFP Charter Nos. 36 - 41**).

WITNESSETH:

WHEREAS the State of New York (the “**State**”) enacted the Act; and

WHEREAS pursuant to Education Law § 2853(1)(b-1), the Trustees have the authority to recommend for approval requests for charter school education corporations to operate multiple charter schools, or multiple sites for a single school, in the State; and

WHEREAS the Education Corporation, in response to a request for proposals (“**RFP**”) published by the Trustees, submitted a proposal for the grant of authority to operate one or more schools pursuant to Education Law § 2852(9-a) (as modified and/or supplemented, the “**Proposal(s)**”); and

WHEREAS the Trustees have (i) determined that the Proposal(s) satisfy each and every applicable requirement set forth in Education Law § 2852 and the Act, and all other applicable laws, rules and regulations, and (ii) approved the Proposal(s) for recommendation to the Board of Regents (the “**Regents**”); and

WHEREAS pursuant to the Act, the Regents may approve the proposed amended charter, and issue or reissue the Education Corporation’s provisional charter to indicate that the Education Corporation may operate the charter school(s) described in the Proposal(s), or same shall be deemed approved and issued;

NOW, THEREFORE, in consideration of the mutual covenants, representations, warranties and agreements contained herein, the Parties hereby agree as follows:

SECTION 1. CONTINUATION OF EDUCATION CORPORATION

1.1 Charter. The Education Corporation and its charter are hereby continued as set forth herein. This agreement (the “**Charter Agreement**”), which specifically incorporates the following:

(a) the applications, renewal applications or Proposal(s), as the case may be, submitted by the Education Corporation, attached hereto in **Exhibit A**, and shall incorporate the charter applications or proposals of any additional schools that may hereafter be approved by the Trustees, all of which shall be set forth in **Schedule 1**, and which shall be hereafter referred to as the Terms of Operation (the “**Terms of Operation**”);

(b) the Additional Assurances and Terms, if any, set forth in Exhibit A (the “**Additional Assurances and Terms**”);

(c) the Monitoring Plan, attached hereto as **Exhibit B** (the “**Monitoring Plan**”);

(d) the Assurances Regarding Special Education, attached hereto as **Exhibit C** (the “**Special Education Assurances**”); and

(e) the Accountability Plan(s) developed by each school to be operated by the Education Corporation, or to be developed during the first year of operation by any additional school the Corporation may be permitted to operate, and further described herein and set forth in Exhibit A, (the “**Accountability Plans**”);

shall constitute, before its approval by the Regents, the proposed amended charter (the “**Proposed Charter**”). When approved or deemed approved by the Regents, the Proposed Charter shall be known as the charter (the “**Charter**”). The Charter shall be binding on the Education Corporation, and the certificate of incorporation previously issued pursuant to Education Law § 2853(1) shall be reissued or amended by the Regents (as amended, the “**Provisional Charter**”) to include the authority for the Corporation to operate one or more additional schools as set forth in Schedule 1.

1.2 Effective Date; Term. (a) Subject to any limitations imposed herein and any provision to delay the effective date set forth in the Additional Assurances and Terms, the Charter shall take effect immediately upon, and only upon, its issuance by the Regents (the “**Effective Date**”). The term of the Provisional Charter shall not exceed five (5) years in which instruction is provided to pupils plus the period commencing with the Effective Date and ending with the opening of the newest school at which the Education Corporation provides instruction, which may be delayed by planning years as described in § 3.1 hereof. The Provisional Charter shall expire thereafter, unless earlier terminated or renewed. The Charter is deemed issued

upon approval of the Proposed Charter, either by action of the Regents or operation of law pursuant to Education Law § 2852(9-a)(f).

(b) If the Education Corporation is granted additional authority to operate additional schools under the Act, the charter term shall be extended by a period of five (5) years in which instruction is provided to pupils plus the period commencing with such new effective dates and ending with the opening of the schools for instruction, which may be delayed by planning years as described in § 3.1 hereof.

(c) Notwithstanding any other provision of the Charter Agreement, in the event that the Provisional Charter expires on a date when a new instructional school year has recently commenced, but the school year will not end within the charter term, any school operated by the Education Corporation, will not be able to provide instruction during that commenced school year unless the Education Corporation applies to the Trustees for, and is granted, a Provisional Charter extension or renewal in accordance with the *Policies for the Renewal of Not-for-Profit Charter School Education Corporations and Charter Schools Authorized by the Board of Trustees of the State University of New York* or similar policy, as may be in effect at that time, or given other explicit authority to provide instruction by the Trustees or their designee.

1.3 Amendment of Proposed Charter. Prior to its issuance, the Proposed Charter is subject to modification as follows.

(a) The Education Corporation agrees that (i) should the SUNY Charter Schools Institute (the “**Institute**”) on behalf of the Trustees determine upon further review that one or more exhibits or attachments of the Terms of Operation, or provisions of the Charter Agreement, are inconsistent in one or more respects with applicable laws, rules or regulations or the Charter Agreement, and (ii) the Regents provide an opportunity for amendment of the Proposed Charter, the Education Corporation shall make such changes to the Charter Agreement as requested by the Institute such that the Charter Agreement meets such legal requirements; it being understood, however, that such changes shall be required only after the Education Corporation or its designee has had the opportunity to fully discuss any such requested changes with the Institute. It is further understood that prior to its issuance, modifications to the Proposed Charter, subject to the consent of the Education Corporation, may result as a consequence of comments received from the entities set forth in Education Law § 2857(1) or from the Regents.

(b) If the Institute determines that the Charter Agreement requires amendment for the reasons indicated immediately above, but the Regents do not permit amendment, and there is no other opportunity for same, and the Charter is amended, issued or reissued as the case may be, the Education Corporation agrees to make such amendments to the Charter Agreement (and seek a revision to same or the Charter to the extent required by law to effect such changes), it being understood that prior thereto, the Institute shall provide the Education Corporation with a full and fair opportunity to discuss any such required changes.

1.4 New Information. The Education Corporation's school(s) shall not provide instruction to any student and the Education Corporation shall not be eligible to receive any funds, or if it has received funds, any further funds, as would otherwise inure to the Education Corporation under Education Law § 2856, if:

(a) the Trustees receive information after the date on which the Proposed Charter or an amendment thereto is executed that provides substantial reason to believe either (i) the Terms of Operation contain material misstatements or material omissions of fact or (ii) the Education Corporation and/or any entity with which the Education Corporation contracts or intends to contract to provide day-to-day management of any school or schools, is unable to oversee and operate the school or schools in a fiscally and educationally sound manner consistent with the terms of the Provisional Charter, Charter Agreement, Act and all other applicable laws (the "**New Information**"); and

(b) the Trustees, acting on the New Information, issue in writing to the Education Corporation a statement setting forth in particular the New Information and the reasons why the Education Corporation shall not be permitted to provide instruction at a particular school or schools, or to receive the public funds contemplated under the Act. Upon appropriate showing by the Education Corporation, the Trustees may withdraw such statement and permit the Education Corporation's school(s) to provide instruction to students and permit the Education Corporation to receive public funds contemplated under Education Law § 2856 for such school(s). In the event that the Trustees issue the statement described by this subsection prior to December 31 of the year that the charter(s) issued to permit operation of said school(s) becomes effective, and such statement is not withdrawn by the Trustees on or before September 21 of the year immediately succeeding the year in which such charter becomes effective, such charter shall be deemed to be void *ab initio*. It shall be the ongoing obligation of the Education Corporation to provide to the Trustees in writing any New Information of which it is in, or comes into, possession.

1.5 Authority to Operate Additional Schools, Sites and Programs. (a) The Education Corporation shall have the authority to operate the schools set forth in Schedule 1 and described in the Terms of Operation. Each school operated by the Education Corporation shall have its own, separate Accountability Plan, and, if and when applicable, Enrollment and Retention Targets, and the Monitoring Plan shall be applied to each school by the Trustees, all as hereinafter described. Subject to the requirements of the Act and the application or proposal requirements of the Trustees, the Education Corporation may operate such additional schools as the Trustees may approve in accordance with the Act.

(b) The Education Corporation shall have the authority to operate in as many sites as permitted by the Act and as approved pursuant to this Charter Agreement by the Trustees so long as the number of separate sites for any particular grade does not exceed the number of schools the Education Corporation may operate. In addition, the Education

Corporation may operate any site for which a separate charter has been issued as listed in Schedule 1 and described in the Terms of Operation.

(c) So long as set forth and described in the Terms of Operation, the Education Corporation may share programs, settings, classes and services between and among its schools unless otherwise prohibited by the Act, the Provisional Charter or this Charter Agreement.

1.6 School Names. The names of the Education Corporation's school(s) shall be as set forth in Schedule 1. The Education Corporation has the authority to amend or alter the name of any school it has the authority to operate provided that such school name is not already in use in the State, and further provided that such name change shall become effective only upon the approval of the Institute and upon notice to the Regents or their designee, which may require Charter revision.

SECTION 2. OPERATION OF EDUCATION CORPORATION

2.1 Code of Ethics. The Education Corporation, its trustees, officers and employees shall abide by the code of ethics of the Education Corporation set forth in the Terms of Operation, which must conform to those provisions of the Act and New York General Municipal Law made applicable by the Act, and include standards with respect to disclosure of conflicts of interest regarding any matter brought before board of trustees of the Education Corporation (the "**Education Corporation Board**") regardless of whether the matter may involve a for-profit or not-for-profit entity or transaction. The Education Corporation shall disseminate the code in written form to each of its trustees, officers and employees. Modifications to the code of ethics shall require prior written approval of the Trustees.

2.2 Governance; Education Corporation Board; By-laws. The Education Corporation shall continue to be governed the Education Corporation Board, which shall consist of those individuals specifically named in the Terms of Operation (the "**Corporate Trustees**"). The Education Corporation Board shall have final authority for policy and operational decisions of the Education Corporation and each school although nothing herein shall prevent the Education Corporation Board from delegating decision-making authority to officers, employees and agents of the Education Corporation. The Education Corporation Board shall operate pursuant to the following requirements and restrictions.

(a) The Education Corporation Board shall operate pursuant to the by-laws set forth in the Terms of Operation or as amended pursuant to subsection (b) of this § 2.2 (initially or as amended, the "**By-laws**"), as well as the applicable governance provisions of the Act, Not-For-Profit Corporation, Education and General Municipal Laws.

(b) The By-laws may not be amended in any material respect without the prior written approval of the Trustees, such approval not to be unreasonably withheld, and

in no event can they conflict with any term of the Provisional Charter, Charter Agreement or law including provisions of the Education, General Municipal and Not-for-Profit Corporation Laws applicable to charter schools. In seeking modification of the By-laws, the Education Corporation Board shall submit to the Trustees a duly approved resolution of the Education Corporation Board setting forth the proposed material changes to the By-laws.

(c) The Education Corporation Board shall have as its members such total number of Corporation Trustees and shall reserve seats on the Education Corporation Board for such specified members or constituent groups in such numbers as is set forth in the Terms of Operation. In no event shall a person with an interest in a for-profit contract with the Education Corporation serve on the Education Corporation Board except to the extent permitted by the General Municipal Law. The By-laws shall contain provisions consistent therewith.

(d) Notwithstanding any provision to the contrary in the Charter Agreement, Terms of Operation or By-laws, in no event shall the Education Corporation Board, at any time, be comprised of voting members of whom more than forty percent (40%) are directors, officers, employees, agents or otherwise affiliated with any single entity (with the exception of the Education Corporation or of another charter school education corporation), regardless of whether said entity is affiliated or otherwise partnered with the Education Corporation. For the purposes of this subsection, "single entity" shall mean any individual entity, as well as any and all related entities to such entity such as parents, subsidiaries, affiliates and partners. The Trustees may, at their sole discretion, waive this restriction upon a written request from the Education Corporation.

(e) Where the Education Corporation has engaged a not-for-profit educational service provider or other entity that provides comprehensive management services to the Education Corporation or any of its schools pursuant to a contract between such entity and the Education Corporation:

(i) no more than two (2) Corporate Trustees may be affiliated with such not-for-profit entity, or have immediate family members so affiliated, and one (1) such Corporate Trustee's affiliation is limited to serving as director of such entity; provided, however, that in such case the following restrictions shall apply and be contained in the By-laws:

(ii) termination of the contract with the not-for-profit educational service provider or other entity shall constitute cause for removal of such person(s) from the Education Corporation Board, and upon such termination such person(s) may be removed from the Education Corporation Board by vote of the Education Corporation Board provided there is a quorum of at least a majority of the entire Education Corporation Board present at the meeting; and

(iii) such person(s) shall not hold the offices of chair or treasurer of the Education Corporation Board; and

(iii) when the Education Corporation Board has proper grounds to go into executive session pursuant to the New York Open Meetings Law (as defined herein), and the Education Corporation Board is to discuss or vote upon an issue related to the not-for-profit management company or entity, the personnel of such company or entity, or such person(s), the Education Corporation Board may, after such person(s) has had an opportunity to fully address the Education Corporation Board, continue such executive session outside of the presence of such person(s); and

(iv) the number of Corporate Trustees on the Education Corporation Board shall not be less than seven (7) where two (2) Corporate Trustees are affiliated with the not-for-profit entity and not less than six (6) where one (1) Corporate Trustee is affiliated with the not-for-profit entity.

(f) The Education Corporation Board shall notify the Trustees within five (5) business days of any of the following Corporate Trustee actions: removal, resignation, expiration of term without re-election, or otherwise leaving the Education Corporation Board.

(g) The Education Corporation Board shall require that each Corporate Trustee who has served on the Education Corporation Board during a school year shall file annually a disclosure report (the **"School Trustee Disclosure Report"**) with the Trustees, the form and requirements of which shall be provided by the Trustees. The School Trustee Disclosure Report shall set forth and attest to transactions between the Education Corporation on the one hand and a Corporate Trustee and/or any entity with which such Corporate Trustee is affiliated on the other, as such transactions may be defined by the Trustees. As set forth in § 6.1 of this Charter Agreement, the School Trustee Disclosure Report for each Corporate Trustee shall be submitted yearly as part of each school's annual report (the **"Annual Report"**). In the event that any Corporate Trustee fails to file a School Trustee Disclosure Report within thirty (30) days of its due date of August 1, or such report is in material respects incomplete, misleading or untruthful, and the Trustees inform the Education Corporation Board of its determination in this regard, the Education Corporation, notwithstanding any provision of its By-laws, shall in a timely fashion remove such Corporate Trustee pursuant to a vote of the Education Corporation Board and the failure of the Education Corporation Board to so act shall be a material violation of the charter as described in the Act. Should a Corporate Trustee resign from or otherwise leave the Education Corporation Board without having submitted a School Trustee Disclosure Report for any year in which such Corporate Trustee served, the Education Corporation shall provide the Trustees with a record of the transactions required by the School Trustee Disclosure Report for that Corporate Trustee for each relevant school year, such reports to be signed by the Education Corporation and due on August 1 as part of the Annual Report.

2.3 Selection of New Education Corporation Board Members. All Corporate Trustees shall possess appropriate qualifications for membership on the Education Corporation Board, as such qualifications are set forth in the Terms of Operation, and shall be seated pursuant to the following procedures. Prior to the appointment or election of any new Corporate Trustee, the Education Corporation Board must submit to the Trustees (pursuant to a duly approved resolution of the Education Corporation Board) the name of the proposed Corporate Trustee and such individual must timely provide to the Trustees, in writing and/or in person, such background information as the Trustees shall require (the “**School Trustee Background Information**”). Within forty-five (45) days of receiving the name of the proposed Corporate Trustee and the School Trustee Background Information, the Trustees shall in writing reject or approve such individual. In the event that the Trustees do not provide in writing an approval or rejection within the forty-five (45) day time period, the proposed Corporate Trustee may be seated so long as such action would be consistent with the By-laws and any other applicable Terms of Operation. A failure by the Education Corporation or the proposed Corporate Trustee to timely provide the School Trustee Background Information to the Trustees shall be grounds for his or her rejection.

2.4 Contracting with Educational Service Providers. Any entity that provides all or a substantial subset of all services necessary to operate and oversee any school’s educational program on a fee basis and pursuant to a fee-based contract shall be known as an educational service provider (“**Educational Service Provider**”) and the contract under which such services are provided shall be referred to as a management contract (“**Management Contract**”). Any other contractual arrangements including, but not limited to, leases, subleases, lease-purchase agreements, credit facilities, loan agreements, promissory notes, negotiable instruments and other debt instruments, that are contemplated between the Education Corporation on the one hand and the Educational Service Provider, its partners, parents, subsidiaries, agents and affiliates (including any entity that holds an economic interest in the Educational Service Provider) on the other, shall be known collectively, together with the Management Contract, as ESP Contracts (“**ESP Contracts**”). The following requirements and provisions relating to Educational Service Providers, Management Contracts and ESP Contracts shall apply.

(a) The Trustees reserve the right to review and disapprove for good cause shown any and all ESP Contracts that the Education Corporation seeks to execute or amend during the time that the Provisional Charter is in effect. Good cause shown includes, but is in no way limited to, a finding that the ESP Contract or ESP Contracts at issue do not, under the totality of the circumstances, allow the Education Corporation effective and sufficient means to hold the Educational Service Provider accountable including means to terminate the Educational Service Provider without placing the Education Corporation’s or the subject school(s)’s further existence in peril. The above terms are in addition to the requirements of § 3.14 of the Charter Agreement.

(b) To facilitate the Trustees’ rights of review and disapproval, the Education Corporation shall provide the Trustees with any proposed ESP Contract (or proposed

material amendment of an ESP Contract) not later than thirty (30) days prior to the proposed date of execution. In addition to the foregoing, prior to a school's first year of operation, and where no prior Management Contract has been in place for that school, the Education Corporation must submit the proposed Management Contract to the Trustees by no later than May 1 immediately preceding the start of the school year. When submitting an ESP Contract, the Education Corporation must include a written opinion of the Education Corporation Board's legal counsel stating that the ESP Contract has been reviewed by legal counsel to the Education Corporation Board. Within thirty (30) days of receiving the proposed ESP Contract, the Trustees shall notify the Education Corporation Board if the agreement is disapproved, except that the Trustees, at their discretion, may extend the review period an additional thirty (30) days. It is expressly understood that should the Trustees not disapprove an ESP Contract, the Trustees by such action are in no way endorsing or approving the contract, the fee arrangements if any or any other provisions contained therein.

(c) The Education Corporation shall not enter into a Management Contract with any Educational Service Provider not identified as such in the Terms of Operation without receiving prior written approval from the Trustees.

(d) To the extent that the Terms of Operation contemplate that any of the Education Corporation's schools was to be operated with the assistance of an Educational Service Provider pursuant to a Management Contract, the Education Corporation shall obtain the prior written approval of the Trustees prior to operating the school without such Educational Service Provider's assistance. Notwithstanding the above, it is understood that circumstances may require the Education Corporation to terminate and/or not renew a Management Contract and thereafter operate a school without the services of the Educational Service Provider identified in the Terms of Operation (or otherwise subsequently approved by the Trustees) prior to obtaining the permission of the Trustees. Where the Trustees determine, at their sole discretion, that such circumstances exist, and the Education Corporation has made good faith efforts to timely inform the Trustees of the circumstances, the Trustees may waive the Education Corporation's breach of the prior permission requirement and allow the Education Corporation to seek permission *ex post facto*.

(e) Management Contracts shall set forth with particularity *inter alia*, the extent of the Educational Service Provider's participation in the organization, operation and governance of any school.

(f) To further and facilitate their review, the Trustees may require the Education Corporation to submit together with any ESP Contract, additional information or assurances.

(g) Upon the execution of an ESP Contract, and any revision thereto, a copy of such contract or revised contract shall be promptly provided to the Trustees.

2.5 Transactions with Affiliates. In addition to the applicable requirements of the General Municipal Law, the Education Corporation shall not, directly or indirectly, enter into or permit to exist any transaction (including the purchase, sale, lease or exchange of any property or the rendering of any service) with any affiliate of the Education Corporation, any member past or present of the Education Corporation Board or any employee past or present of the Education Corporation, any immediate family member of the foregoing individuals, or any entity with which any such person is affiliated unless:

(a) the transaction is with a not-for-profit entity; *and*

(b) the terms of such transaction (considering all the facts and circumstances) are no less favorable to the Education Corporation than those that could be obtained at the time from a person or entity that is not such an affiliate, member or employee or an individual related thereto; *and*

(c) the involved Corporate Trustee, officer or employee must recuse him/herself from voting on or deciding any matters related to such transaction.

SECTION 3. OPERATION OF SCHOOLS

3.1 Planning Years and Prior Actions. The Education Corporation shall continue or commence instruction, as the case may be, in conformity with the schedule set forth in the Terms of Operation for each school it is permitted to operate.

(a) Planning years applicable to any school or schools set forth in the Terms of Operation shall not require further approval of the Trustees or constitute a revision to the Charter unless required by law. The Education Corporation may also seek the Trustees' approval to take one (1) to three (3) additional planning years for any school(s), which approval shall not be unreasonably withheld and may require revision of the charter.

(b) In the event the Education Corporation is unable to open a school or schools by the date set forth in the Terms of Operation (as amended) including taking and completing the Prior Actions (as described immediately below) to the satisfaction of the Trustees to permit the school(s) to open, the charter(s) issued that permitted the Education Corporation to operate such school(s) shall be deemed to be void *ab initio*, and, if necessary, the Corporation shall cooperate with the Institute to transfer, re-use or restructure of such charter or right to operate such school(s).

(c) Notwithstanding the foregoing subsections of this § 3.1 of the Charter Agreement, the Education Corporation shall not permit any of its schools to provide instruction to any student until and unless the Trustees issue a written statement to the Education Corporation, with a copy to the Regents, attesting that said school has completed all or substantially all of the Prior Actions published on the website of the Institute (the "**Prior**

Actions”) to the satisfaction of the Trustees with such conditions as they may require. Upon such confirmation, the restrictions on the school(s) set forth in the immediately foregoing sentence shall be of no further force and effect. Notwithstanding the foregoing, in the event that a school is unable to take and complete all of the Prior Actions to the satisfaction of the Trustees prior to September 21 of the year immediately succeeding the year in which the school is originally scheduled to commence instruction as set forth in the Terms of Operation, the charter issued that permitted the Education Corporation to operate such school shall be deemed to be void *ab initio*. Moreover, notwithstanding anything to the contrary in this section, the Prior Actions are in addition to any other condition set forth in the Provisional Charter, Charter Agreement or the Act.

3.2 Mission Statement. Each school operated by the Education Corporation shall operate under its mission statement set forth in the Terms of Operation. However, the Education Corporation may change, amend or otherwise modify the mission statement of any school and such changes shall not require the permission of the Trustees or constitute a revision to the Charter Agreement so long as the changes are approved by the Education Corporation Board and generally consistent with the Terms of Operation, and the Education Corporation reports the modification to the Trustees as part of the school’s annual report as required by § 6.1 of the Charter Agreement. Nothing herein shall require the Education Corporation to adopt the same or similar mission statements for each school it is permitted to operate.

3.3 Age; Grade Range; Number of Students. Each school operated by the Education Corporation shall provide instruction to pupils in such ages, grades and numbers in each year of operation as set forth in the Terms of Operation (the “**Projected Enrollment Structure**”), and the Education Corporation shall obtain the prior written permission of the Trustees for variances from those terms, except as specifically set forth in subsections (a) and (b) below.

(a) Each school operated by the Education Corporation may enroll a total number of students different from such number as is set forth in the Projected Enrollment Structure (the “**Projected Total Enrollment**”) for such school so long as (i) the total enrollment of such school does not exceed one hundred and twenty percent (120%) of the Projected Total Enrollment, or (ii) the total enrollment of such school is not less than eighty percent (80%) of the Projected Total Enrollment or fifty (50) students, whichever is greater; and

(b) The Education Corporation may, with respect to any school it is authorized to operate, vary the number of students in any particular grade and/or number of students within a class from that provided for in the Projected Enrollment Structure for the purpose of accommodating staffing exigencies, attrition patterns and facilities, and such changes shall not require the permission of the Trustees or constitute a revision to the Charter.

(c) Notwithstanding subsection (a) or (b) of this section the Education Corporation shall not make any change in the Projected Enrollment Structure, with respect to

any school it is authorized to operate, without the written permission of the Trustees that results in or has the effect of (i) eliminating or nearly eliminating a grade or grades the school was scheduled to serve under the Projected Enrollment Structure or (ii) not enrolling any returning student scheduled to be served under the Projected Enrollment Structure or (iii) eliminating any student's seat after the student has been admitted to the school with the understanding that there is no requirement that every returning student must have a seat in the next higher grade level or program so long as same is set forth in the Terms of Operation.

3.4 Admissions; Enrollment; Attendance; Transfer. (a) Each school the Education Corporation is permitted to operate shall have in place and implement comprehensive policies for admissions, enrollment and attendance, which policies shall be approved by the Education Corporation Board and shall be consistent with applicable law. Such policies shall provide in detail the procedures and practices utilized by each school in regards to admission, enrollment, attendance and withdrawal including, *inter alia*, the period in which applications for admission shall be timely, how to obtain an application for admission, the practices in operating the random selection process, the maintenance of a wait list, the implementation of the preferences required by law and any at-risk school design factors pursuant to Education Law § 2854(2) as set forth in the Terms of Operation, and the taking of attendance pursuant to section 104.1 of Title 8 of the Official Compilation of Codes, Rules and Regulations of the State of New York (8 N.Y.C.R.R. § 104.1). With the exception of any changes in the at-risk school design factors, the Education Corporation Board shall have the authority to make changes to such policies and such changes shall not require the permission of the Trustees or constitute a revision to the Charter Agreement. Such changes, however, must be consistent with applicable law and regulations, and the Education Corporation must report such changes to the Trustees as part of each school's annual report as required by § 6.1 of the Charter Agreement.

(b) The Education Corporation shall utilize reasonable outreach and marketing measures to make potential applicants aware of opportunities for enrollment at each of its schools. The Trustees, upon a finding that the outreach and marketing measures taken by the Education Corporation are inconsistent with applicable law; the Terms of Operation; or the enrollment and retention targets for students with disabilities, English language learners, and students who are eligible applicants for the federal Free and Reduced Price Lunch Program (i) prescribed by the Trustees for any school to be operated by the Education Corporation, to be prescribed by the Trustees for any school (ii) during the first year of operation under Trustees' authorization if the Act mandates such targets or (iii) during the first year such targets are otherwise applicable to such school by the Act (the "**Enrollment and Retention Targets**") applicable to individual schools, may require the Education Corporation to take remedial action including, but not limited to, requiring the Education Corporation to extend any or all of its schools' enrollment periods, delay or void random selection processes, implement at-risk school design factors and/or conduct further specified outreach and marketing steps. Only to the extent specifically provided for in the Terms of Operation or the Additional Assurances and Terms shall any school apply an at-risk of academic failure school design factor and/or limit admission to a single sex and any change to such factors as are

provided for by the Terms of Operation or the Additional Assurances and Terms shall require the prior written approval of the Trustees, it being understood that such changes may also require a revision to the Charter, such determination to be made by the Trustees.

(c) Applicants that have designated a particular school or schools on an application must be entered into a random selection process for those schools. However, the Education Corporation may offer admission in a different school in addition to, or if the applicant was not selected, in lieu of, admission to the designated school provided that the Education Corporation's or the schools' admissions policies in the Terms of Operation describe such process.

(d) The Education Corporation may transfer students between schools it is authorized to operate, provided the following conditions are met:

(i) the Education Corporation or each involved school has a specific transfer policy set forth in the Terms of Operation;

(ii) the transfer policy treats similarly situated students in a like manner, and does not unfairly discriminate against any student or group of students and comports with federal due process in terms of any disciplinary transfers; and

(iii) the transfer policy does not or does not as applied have the effect of interfering or skewing the student performance results to be reported pursuant to each school's Accountability Plan as further described below.

3.5 Educational Programs. (a) The Education Corporation shall implement and provide educational programs at its school(s) that are designed to permit and do permit the students to meet or exceed the performance standards adopted by the Regents and the goals, and measures of progress towards those goals, of the school(s) as set forth in the Accountability Plan for each school further described below. The Education Corporation shall ensure that each school administers the complete battery of State tests applicable to each grade and Regents examinations if applicable as well as any standardized or other examinations required by each school's Accountability Plan. Subject to the immediately foregoing requirements, the Education Corporation shall have the right to make any modifications to the educational programs of its schools as it deems necessary including, but not limited to, the curriculum, pedagogical approach and staffing structure, and such modifications shall not require the permission of the Trustees or be deemed a revision to the Charter Agreement, provided however, that any such modifications shall be generally consistent with the Terms of Operation and applicable law, and each school reports such modifications as part of its annual report as required by § 6.1 of the Charter Agreement.

(b) Subject to any restraints in the Act, Provisional Charter or this Charter Agreement, the Education Corporation may offer or share programs, settings, classes and services between and among schools including grade level programs, specialized programs

such as programs for students with disabilities or English language learners, and other programs so long as each such program is described in the Terms of Operation, each student participating in such program is included in the enrollment and Accountability Plan of the student's sending school, unless the Trustees, in their sole discretion, otherwise permit.

3.6 Evaluation of Students. The Education Corporation shall implement, for each school, student assessment requirements applicable to other public schools and administer Regents examinations to the same extent such examinations are required of other public school students, except as otherwise specifically provided by applicable law. In addition, each school shall supplement those assessment tools with the other assessment tools required by the Terms of Operation, if any, or as are required by or set forth in each school's Accountability Plan further described below.

3.7 Accountability Plans. By May 15 of the school year in which any school first commences instruction, the Education Corporation shall ensure that such school creates an Accountability Plan, which plan upon its completion shall be incorporated into the Charter Agreement as a Term of Operation pursuant to § 1.1. The Accountability Plan shall replace and substitute for the assessment measures and educational goals and objectives set forth in the school's Terms of Operation, but shall not provide for less stringent assessment measures or educational goals and objectives than those set forth in the school's charter application in the Terms of Operation. The specific terms, form and requirements of a school's Accountability Plan including any required goals and measures, are set forth in the Accountability Plan Guidelines (the "**Accountability Plan Guidelines**") maintained and disseminated by the Trustees and currently on the website of the Institute and such guidelines shall be binding on the Education Corporation. Upon a school's creation of an Accountability Plan, the Education Corporation shall fully implement, maintain, and report progress on, the Accountability Plan pursuant to the requirements of the Accountability Plan Guidelines and the annual reporting guidelines maintained by the Trustees (the "**Annual Reporting Guidelines**") and currently on the website of the Institute, as well as by § 6.1 of the Charter Agreement. Material amendments to any Accountability Plan shall be approved by the Trustees and shall be consistent with the Accountability Plan Guidelines then in effect. The Education Corporation understands that any school's success in meeting the goals and measures set forth in its Accountability Plan shall be the predominant criterion by which the success of the school's education program will be evaluated by the Trustees upon the Education Corporation's application for renewal of the authority to operate such school. In addition, the collective success of the Education Corporation's schools in meeting such goals and measures shall be a criterion to be evaluated by the Trustees upon the Education Corporation's application for extension of its Provisional Charter pursuant to Education Law § 2851(4) (legal renewal).

3.8 School Calendars; Days and Hours of Operation. The days and hours of operation of each school shall be determined by the Education Corporation at its discretion subject to the following restrictions:

(a) The days and hours of operation shall at all times be sufficient to allow each school to meet the student performance standards set by the Regents and the academic achievement goals and other goals set forth in each school's Accountability Plan and in no event shall any school provide less instructional time during a school year than is required of other public schools with instructional time to be divided in generally equal amounts over no less than 176 days.

(b) To allow parents to determine whether a school's program is appropriate for their child(ren), the Education Corporation shall in each year of the charter term determine the days and hours of operation of each school for the next school year by February 1 of the then current school year and shall make such information readily available to parents seeking to enroll their child(ren) in or return their child(ren) to each school and provide a copy of such material to the Trustees in a manner that will allow them to post such information on the website of the Institute. The Education Corporation shall not thereafter for the next school year make any material changes to the days and hours of operation of any school from those determined on each February 1st date that have the effect of shortening the number of days of instruction or hours in which such instruction is provided without obtaining the prior written permission of the Trustees, it being understood that such permission shall not be forthcoming except for good cause shown.

(c) Notwithstanding subsection (b) above, in the first school year in which a school provides instruction, the days and hours of operation shall be those set forth in the school's charter application in the Terms of Operation, except that the Education Corporation shall have the discretion, and without seeking permission of the Trustees, to (i) provide ten (10) fewer days of instruction than the amount set forth in the Terms of Operation for such school and (ii) lengthen the school day and school year for such school as it deems necessary and appropriate so long as the Education Corporation provides timely notice to parents of such changes.

3.9 Student Disciplinary Codes. Each school shall maintain and implement written rules and procedures for student discipline including guidelines for suspension and expulsion, and shall disseminate those procedures to students and parents. Such guidelines and procedures must be consistent with applicable law including, but not limited to, requirements for due process, provision of alternative instruction and federal laws and regulations governing the discipline and placement of students with disabilities. In the first year of operation of any school, the school's discipline policy must be consistent with the discipline policy set forth in the school's charter application in the Terms of Operation. Thereafter, the Education Corporation shall have the authority to make such modifications to the student disciplinary code of any school as it deems necessary and appropriate, and such modifications shall not require the permission of the Trustees or be deemed to constitute a revision to the Charter, except that material modifications of the disciplinary code shall be approved by the Education Corporation Board prior to such modifications becoming effective, and shall be reported as part of each School's annual report as required by § 6.1 of the Charter Agreement.

3.10 Complaint Policies. The Education Corporation shall implement and maintain a complaint policy for each school to receive and handle complaints brought pursuant to Education Law § 2855(4). Initially, such policy shall be that policy approved by the Institute as part of each school's Prior Action process. The Education Corporation shall have the power to amend each school's complaint policy in any way it deems necessary and appropriate, so long as such amendments are approved by the Education Corporation Board and are consistent with applicable law and due process, and reported as part of each school's annual report as required by § 6.1 of the Charter Agreement. A copy of each school's complaint policy shall be distributed to the parents and/or guardians of students enrolled in the respective school and made readily available to all others requesting a copy. The Education Corporation shall also provide a copy of each school's current complaint policy to the Trustees. Upon resolution of a complaint, the Education Corporation shall provide to the complainant:

- (a) its written determination and any remedial action thereto;
- (b) a written notice to the complainant that he or she may appeal the determination of the Education Corporation to the Trustees; and
- (c) a copy of the Trustees' grievance policies (as they are posted on the website of the Institute).

3.11 Student Transportation. The Education Corporation shall meet the transportation needs of students ineligible for transportation pursuant to Education Law § 3635 only to the extent provided for in each school's charter application as set forth in the Terms of Operation. The Education Corporation may contract with a school district for the provision of supplemental transportation services to any school. All transportation provided by the Education Corporation shall comply with all safety laws and regulations applicable to other public schools. Notwithstanding the above, the Education Corporation's failure to provide such supplemental transportation as is contemplated in the Terms of Operation for a school where such transportation was to be provided by contract with the school district, shall not be deemed a material or substantial violation of the charter as defined in the Act, where the Education Corporation has attempted to negotiate such contract in good faith with the applicable school district. In such event, the Trustees may require the Education Corporation to provide the contemplated supplemental transportation services by alternate means if such means would be reasonable under the circumstances.

3.12 Health Services. The Education Corporation shall provide health services at each school as are set forth in the Terms of Operation, or their equivalent, so long as the services provided meet applicable law.

3.13 Food Services. The Education Corporation shall provide the food services designated for each school consistent with or equal to those outlined in the Terms of Operation.

3.14 Facilities; Locations. The building(s) in which any school is to be located shall be known as its school facility (the “**School Facility**”).

(a) Prior to May 15 of the year that any school intends to provide instruction for the first time, the Education Corporation shall have:

(i) entered into a lease, purchase agreement or other such agreement for such school that has been reviewed by counsel to the Education Corporation. The Education Corporation shall provide to the Trustees a letter from such counsel attesting to such review prior to the May 15 deadline. The lease, purchase agreement or other such agreement shall provide the Education Corporation with all rights and permissions as are necessary to operate the school as a school in the School Facility according to the plan for the school set forth in the Terms of Operation (the “**Facility Agreement**”);

(ii) provided to the Trustees for review and approval a copy of the Facility Agreement and a detailed schedule setting forth the steps necessary to make the school Facility ready for commencement of instruction, together with the dates upon which such steps will be completed (the “**Facility Completion Schedule**”). The Facility Completion Schedule shall indicate the permits and licenses required to be obtained prior to the Education Corporation being legally able to operate the school in the School Facility (including, but not limited to, a certificate of occupancy) (collectively the “**Permits**”) with the dates on which each such Permit shall be obtained, a detailed construction / renovation timeline (if applicable), which describes the work to be completed and the dates on which such work will be completed, and an updated and detailed budget for all costs associated with preparing the School Facility for occupancy; and

(iii) provided to the Trustees for review updated annual budgets (A) for the school for the remainder of the period of the Education Corporation has authority to operate the school, and (B) for the Education Corporation for the remainder of the Provisional Charter term, each reflecting the costs of the Facility Agreement in the form set forth in § 5.5.

(b) In the event that a Facility Agreement is not in place by May 15 of the calendar year in which a school intends to first provide instruction, the school may not commence instruction until the start of the school year succeeding such scheduled start, subject, however, to having (i) entered into a Facility Agreement, (ii) provided to the Trustees such agreement as well as the Facility Completion Schedule by May 15 of such succeeding year, and (iii) the subsequent approval of the Trustees. Notwithstanding the immediately foregoing sentence, the Trustees may waive the restrictions contained therein upon good cause shown and extend the date upon which the Facility Agreement and Facility Completion Schedule would be otherwise due.

(c) In the event that the Trustees find, through their review of the Facility Completion Schedule, the Facility Agreement or any other inquiry and investigation,

that it is unlikely that the School Facility will be completed and that all Permits will be obtained in time for the opening of the school on the school's scheduled opening date, the Trustees may require the Education Corporation to delay the school's commencement of instruction until the next academic year or such other date as the Trustees may designate. In the event that the Trustees require such delay, they shall provide their reasons in writing to the Education Corporation by July 15 of the year in which the school is then scheduled to provide instruction.

(d) Pursuant to Education Law § 2851(2)(j), and notwithstanding any contrary provision of this section, in the event that the Terms of Operation do not identify a school facility for a particular school, the Education Corporation shall notify the Trustees and the Regents within ten (10) business days of such School Facility having been identified.

(e) The Education Corporation shall take such actions as are necessary to ensure that the Facility Agreement and Permits for each school and site are valid and in force at all times that the Education Corporation has authority to operate such school or site.

3.15 Changes in Location. The Education Corporation may change the physical location of a School Facility or obtain additional buildings for a School Facility within the same school district (in the case of the New York City School District, the borough) or obtain additional space in a building the school already occupies provided that the Education Corporation satisfies the provisions of the Act including, but not limited to, Education Law § 2853(1)(b-1) and provided further that:

(a) the Education Corporation notifies the Trustees of the proposed change in location or addition of facilities for the school, in the case of an August or September opening, prior to May 15 of the calendar year in which the school intends to provide instruction in the new or additional facility, or, in the case of any other opening, one hundred and twenty (120) days prior to the proposed commencement of instruction in the new or additional facility, and provides the Trustees with (i) a Facility Completion Schedule, (ii) an unexecuted Facility Agreement or a statement setting forth the material terms of the lease or purchase agreement, (iii) a letter from legal counsel for the Education Corporation indicating that such counsel has reviewed such terms, and (iv) updated annual budgets (A) for the school for the remainder of the period the Education Corporation may operate the school, and (B) for the Education Corporation for the remainder of the Provisional Charter term, each reflecting the costs of the Facility Agreement in the form set forth in § 5.5; and provided further that

(b) the Trustees do not issue a denial to the Education Corporation within sixty (60) days of its receipt of such notification. The Trustees may issue a denial only for good cause. A failure to provide the Trustees with the notice period and/or Facility Completion Schedule for the school required by § 3.15(a), together with all material terms regarding the lease or purchase of the proposed School Facility, within the time frames set forth therein shall constitute good cause. Notwithstanding the immediately foregoing, the Trustees may shorten or otherwise waive the one hundred and twenty (120) day notice or other requirement for

good cause shown. A failure to obtain the permission of the Trustees as specified above shall cause any Facility Agreement entered into without such permission to be voidable at the discretion of the Trustees.

3.16 Monitoring Plan and Oversight. The Education Corporation acknowledges that the Trustees, or their authorized agents, and the Regents have the right to visit, examine into and inspect the Education Corporation as well as any school or program the Education Corporation may operate and any records related to any of the foregoing. To permit the Trustees to fulfill their oversight function under the Act and ensure that the Education Corporation and each of its schools is in compliance with all applicable laws, rules and regulations and the terms and conditions of this Charter Agreement and the Provisional Charter, the Education Corporation agrees to abide by the Monitoring Plan that the Institute will implement for the Education Corporation and each school as applicable, the requirements of which are set forth at Exhibit B.

3.17 Special Education and Funding of Services. (a) The Education Corporation shall provide services and accommodations to students with disabilities as set forth for each school in the Terms of Operation and in accordance with the Special Education Assurances set forth in Exhibit C hereto, the Individuals with Disabilities Education Act (20 U.S.C. § 1401 *et seq.*) (the “**IDEA**”), the Americans with Disabilities Act (42 U.S.C. § 12101 *et seq.*) (the “**ADA**”) and section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794) (“**Section 504**”) and all applicable regulations promulgated pursuant to such federal laws including providing services to attending students with disabilities in accordance with the individualized education program (“**IEP**”) recommended by the committee or subcommittee on special education of the student’s school district of residence or as assigned by such district (“**CSE**”). Pursuant to Education Law § 2853(4)(a), each school shall provide such appropriate and required services either directly, cooperatively with another school operated by the Education Corporation or by contract with another provider, and, to the extent not otherwise indicated in the Terms of Operation, the Education Corporation may, elect to have certain services provided by a student’s school district of residence. The Education Corporation may seek reimbursement from a student’s district of residence for special education and related services provided by the Education Corporation, pursuant to a student’s IEP or Section 504 plan, to the extent permitted under Education Law § 2856 and the New York Laws of 2002, chapter 83, part H, § 102.

(b) The Education Corporation is authorized to receive from a local school district direct payment of any federal or State aid attributable to a student with a disability attending any school in proportion to the level of services for such student with a disability that the school provides directly or indirectly as provided by law, or as set forth in contract.

SECTION 4. PERSONNEL

4.1 Status. The Education Corporation Board shall employ and/or contract with necessary personnel. The Education Corporation shall provide written notice to the Trustees within five (5) business days of the hiring or departure (by resignation or dismissal) of the director, principal or head of any school, however designated, as well as any similarly titled person managing or overseeing multiple schools for the Education Corporation. The organizational structure of the Education Corporation and each school shall be consistent with the structures set forth in the Terms of Operation.

4.2 Personnel Policies; Staff Responsibilities. The Education Corporation shall make available in written form its hiring and personnel policies and procedures for the Education Corporation, and, if applicable, for each school including the qualifications required by the Education Corporation and each school in the hiring of teachers, school administrators and other school employees as well as a description of staff responsibilities. Such policies and procedures shall be consistent with those set forth in the Terms of Operation.

4.3 Instructional Providers. The Education Corporation shall employ or otherwise utilize in instructional positions only those individuals who are certified in accordance with the requirements applicable to other public schools, or who are otherwise qualified to teach under Education Law §§ 2854(3)(a-1)(i)-(iv) and applicable federal law including the federal No Child Left Behind Act of 2001 and the IDEA. For purposes of this section, "instructional positions" means all those positions involving duties and responsibilities that, if otherwise undertaken in the New York public schools, would require teacher certification. At any school, teachers excepted from certification under Education Law §§ 2854(3)(a-1)(i)-(iv) shall not in total comprise more than thirty percent (30%) of the instructional employees of the school, or five (5) teachers, whichever is less, and shall have the qualifications required by state and federal law including, but not limited to, those imposed under the No Child Left Behind Act of 2001. A teacher certified or otherwise approved by the Commissioner of Education of the State (the "**Commissioner**") shall not be counted against these numerical limits.

4.4 Paraprofessionals. Paraprofessionals employed by the Education Corporation must meet all credentialing requirements imposed by applicable federal law.

4.5 Background Checks; Fingerprinting. The Education Corporation shall establish, maintain and implement procedures for conducting background checks (including a fingerprint check for a criminal record) of, and appointing on an emergency conditional basis (if applicable), all Education Corporation employees and prospective employees (whether part or full time) who work or would work in any school, as well as any individual who has regular access to the students enrolled in any school (including, but not limited to, employees and agents of any company or organization which is a party to a contract to provide services to the Education Corporation's school(s)) to the extent required by Education Law § 2854(3)(a-2) and the applicable requirements of the Safe Schools Against Violence in Education legislation (Education Law § 2801-a) and 8 N.Y.C.R.R. §§ 87 and 155.17. All criminal history reports shall be reviewed by two or more employees or agents designated by the Education Corporation Board.

The Education Corporation may, but is not required to, conduct any and all other background checks permitted by law.

4.6 Collective Bargaining. In all cases when the Education Corporation is a party to a collective bargaining agreement, the Education Corporation must provide a copy thereof to the Institute including any extensions and side letters, amendments and renewals. In addition, in accordance with Education Law § 2854(3)(b-1), in the event that

(a) student enrollment at any school on the first day on which the school commences instruction does not exceed two hundred fifty (250) or the average daily student enrollment of the school does not exceed two hundred fifty (250) at any point during the first two (2) years after the school commences instruction; or

(b) the Trustees have granted to the Education Corporation a waiver for such school pursuant to Education Law § 2854(3)(b-1) *and* the school's enrollment exceeds two hundred fifty (250) at any point during the first two (2) years;

then employees of the Education Corporation employed at such school shall not be deemed members of any existing collective bargaining unit representing employees of the school district in which the school is located, and the Education Corporation and its employees located at such school shall not be subject to any existing collective bargaining agreement between the school district and its employees or be recognized as any particular bargaining unit. The Education Corporation may, in its sole discretion, choose whether or not to offer the terms of any existing collective bargaining agreement to any school or Corporation employees. If employees of a school of the Education Corporation are not represented by an existing collective bargaining unit, the Education Corporation shall afford reasonable access to any employee organization during the reasonable proximate period before any representation question is raised. If the employee organization is a challenging organization, reasonable access shall be provided to any organization seeking to represent employees beginning with a date reasonably proximate to a challenge period.

(c) the conditions in subsections (a) or (b) immediately above are not met, then the employees of any school who are eligible for representation under Article 14 of the Civil Service Law shall be deemed to be represented in a separate negotiating unit at the school by the same employee organization, if any, that represents like employees in the school district in which the school is located.

4.7 Teacher Retirement Systems. To the extent permitted by law, the employees of the Education Corporation may be deemed employees of a local school district of location of a school the Education Corporation has authority to operate for the purpose of providing retirement benefits including membership in the teachers' retirement system and other retirement systems open to employees of public schools. The financial contributions for such benefits shall be the responsibility of the Education Corporation and its employees. Notwithstanding any contrary provision of the Charter Agreement, the parties shall abide by

further regulations promulgated by the Commissioner, in consultation with the New York State Comptroller, to implement the provisions of this section including 8 N.Y.C.R.R. § 119.2.

SECTION 5. FINANCIAL OPERATIONS OF EDUCATION CORPORATION

5.1 Management and Financial Controls. (a) The Education Corporation shall at all times maintain appropriate governance and managerial procedures and financial controls and maintain same at each school operated by the Corporation.

(b) Upon the granting of the authority to operate an additional, new school (i.e., authority not acquired through merger) and prior to its opening: (i) the Education Corporation's Treasurer or an employee or agent acting on behalf of the Education Corporation pursuant to a specific delegation of authority from the Education Corporation Board, shall certify to the Trustees that substantially similar financial controls have been instituted for the new school; or the Education Corporation shall comply with the Initial Statement procedures set forth in subsection 5.1(c). Any certification required by this section shall be in the form and manner, and submitted on the schedule, set forth on the website of the Institute.

(c) The Education Corporation shall provide a statement to the Trustees, no later than sixty (60) days from the date the Regents approve the authority of the Corporation to operate a new school (or is approved by operation of law), concerning the status of management and financial controls (the "**Initial Statement**") of the additional school. The Initial Statement must address whether the Education Corporation has documented adequate controls at that school relating to:

(i) preparing financial statements in accordance with generally accepted accounting procedures;

(ii) payroll procedures;

(iii) accounting for contributions and grants;

(iv) procedures for the creation and review of quarterly financial statements, which procedures shall specifically identify the individual who will be responsible for preparing and reviewing such financial statements for the Education Corporation and for each school; and

(v) appropriate internal financial controls and procedures.

The Initial Statement shall be reviewed and ratified by the Education Corporation Board prior to its submission to the Trustees. The Education Corporation shall thereafter, but within the sixty (60) day period, retain an independent certified public accountant or independent certified public accounting firm licensed in the State to perform an agreed-upon procedures

engagement (the “**Independent Accountants’ Report**”) in accordance with attestation standards established by the American Institute of Certified Public Accountants. The purpose of the engagement will be to assist the Education Corporation Board and the Trustees in evaluating the Initial Statement and the procedures, policies and practices established thereunder. The resulting Independent Accountants’ Report should be provided to the Education Corporation Board no later than forty-five days (45) after the commencement of such engagement with a copy to the Trustees. In the event that the Independent Accountants’ Report reveals that any of the above management and financial controls (subsections (a) – (e) of this section) are not in place, the Education Corporation shall remedy such deficiencies no later than forty-five (45) days from the date the Independent Accountants’ Report was received by the Education Corporation Board and shall provide to the Trustees within that forty-five (45) day period a statement that all deficiencies identified in the Independent Accountants’ Report have been corrected. Such statement shall identify the steps undertaken to correct the identified deficiencies. The Trustees may require additional evidence to verify the correction of all such deficiencies. All documents required to be submitted pursuant to this § 5.1 shall be submitted electronically in accordance with guidance published on the website of the Institute.

5.2 Financial Statements; Interim Reports. All financial statements that the Education Corporation is required to prepare shall be in accordance with generally accepted accounting principles then in effect for not-for-profit corporations. During each year of operation, the Education Corporation shall prepare and submit to the Trustees within forty-five (45) days of the end of each quarter of its fiscal year an unaudited statement of income and expenses for that preceding quarter in such form and electronic format as prescribed and disseminated by the Trustees and currently available through the website of the Institute to include, but not be limited to, certain financial statements for each school operated by the Education Corporation in addition to the aggregated statements for the Education Corporation as determined by the Institute.

5.3 Audits. (a) The Education Corporation shall retain an independent certified public accountant or certified public accounting firm licensed in the State to perform annually an audit of the Education Corporation’s annual financial statements. The independent audit of the Education Corporation’s financial statements must be performed in accordance with generally accepted auditing standards and *Government Auditing Standards* issued by the Comptroller General of the United States, as well as any additional requirements and guidelines provided by the Trustees to include certain information, schedules and testing related to each school operated by the Education Corporation. The audited financial statements must be submitted to the Trustees by November 1 of each year. In addition, and pursuant to the same timetable, the Education Corporation must require its independent certified public accountant to issue a report on compliance with laws, regulations, contracts and grants and on internal controls over financial reporting, based on its audit of the financial statements. The Education Corporation must submit this report to the Trustees together with a corrective plan addressing any weaknesses or problems identified in the planning and performance of the audit. The corrective plan must address each suggestion for consideration of management contained in

the compliance report and include a timetable that identifies the date by which each corrective step will have been completed.

(b) The Education Corporation shall also conduct annual programmatic audits at each of its schools to the extent required of other public schools, with such audits being comparable in scope to those required of other public schools.

All documents required to be submitted pursuant to this § 5.3 shall be submitted electronically in accordance with guidance published on the website of the Institute.

5.4 Fiscal Year. The fiscal year of the Education Corporation shall begin on July 1 of each calendar year of the term of the Provisional Charter and shall end on June 30 of the subsequent calendar year.

5.5 Annual Budgets and Cash Flow Projections. (a) The Education Corporation shall prepare and provide to the Trustees a copy of its annual budgets and cash flow projections for (i) the Education Corporation as a whole, and (ii) each school, each fiscal year by no later than June 30 of the immediately preceding fiscal year.

(b) During the Education Corporation's first fiscal year in which its first school(s) provides instruction, the Education Corporation shall provide its annual budget by August 1 of such year in the event that the budget or projection differs in any material respect from that set forth in the Terms of Operation. Thereafter, when a new school of the Education Corporation would first commence instruction, the Education Corporation must submit its and all of its operating schools' budgets and cash flow projections in accordance with subsection (a) immediately above, but may submit the budget and cash flow projection of the new school by August 1 of such year in the event that the budget or projection differs in any material respect from that set forth in the Terms of Operation for such school.

(c) All annual budgets and cash flow projections shall be in such form and electronic format as prescribed and disseminated by the Trustees, which will be available on the website of the Institute.

5.6 Maintenance of Corporate Status; Tax Exemptions. The Education Corporation shall maintain its status as a not-for-profit New York education corporation and its federal tax-exempt status pursuant to § 501(c)(3) of the Internal Revenue Code. The Education Corporation shall provide the Trustees with copies of all applications and filings relating to its maintaining its § 501(c)(3) tax-exempt status.

5.7 Insurance. The Education Corporation shall, at its own expense, purchase and maintain the insurance coverage for liability, property loss, and the personal injury of students for the Education Corporation and for each school or site as described in the Terms of Operation together with any other additional insurance that the Education Corporation deems necessary. Such insurance policies shall continue in effect. In the case of additional schools,

the applicable insurance must be in effect prior to employees or students being present in the School Facility. The Education Corporation shall provide the Trustees with certificates of insurance or other satisfactory proof evidencing coverage including, but not limited to, renewal policies within five (5) days of the commencement of each such policy, or additions, riders or amendments thereto covering additional schools. All such insurance policies shall contain a provision requiring notice to the Trustees, at least thirty (30) days in advance, of any material change, nonrenewal or termination. Notwithstanding any provision to the contrary, the Education Corporation shall take all steps necessary to comply with any additional regulations promulgated by the Commissioner and State Superintendent of Insurance to implement Education Law § 2851(2)(o).

SECTION 6. REPORTS

6.1 Annual Reports. No later than August 1 succeeding a school year in which any school provided instruction (or received funding under Education Law § 2856), the Education Corporation, pursuant to Education Law § 2857(2), shall submit to the Trustees and the Regents an Annual Report for each school setting forth the academic program and performance of each school for the preceding school year. In accordance with the Act, the Annual Report shall be posted on each school's or the Education Corporation's website, as applicable. The Annual Report shall be in such form as shall be prescribed by the Commissioner and shall include at least the following components.

(a) A report card, which shall be in such form and provide such data as set forth at 8 N.Y.C.R.R. § 119.3, which shall be easily accessible to the community including making it publicly available by transmitting it to local newspapers of general circulation and making it available for distribution at Education Corporation Board meetings.

(b) A discussion of each school's progress made towards achievement of the goals set forth in the Terms of Operation including its Accountability Plan.

(c) A certified financial statement setting forth, by appropriate categories, the revenues and expenditures for each school for the preceding school year including a copy of the most recent independent fiscal audit of the Education Corporation.

In addition, as part of the Annual Report, the Education Corporation shall provide to the Trustees for each school the information required by the Annual Reporting Guidelines and the following.

(d) A report on the progress of each school in meeting the goals and measures of the Accountability Plan during the last school year (the "**Accountability Plan Progress Report**"). The Accountability Plan Progress Report must contain data addressing each goal and measure in the school's Accountability Plan and should report data as required by the Trustees in order for the Trustees to substantiate outcomes. The Accountability Plan Progress

Report shall be prepared pursuant to any requirements set forth by the Trustees including the Annual Reporting Guidelines, which will be available on the website of the Institute. To the extent permitted by the Regents, the Accountability Plan Progress Report may be submitted in satisfaction of the requirement set forth at § 6.1(c) of this Charter Agreement. Should the Accountability Plan Progress Report indicate that the school has not met one or more of the goals in its Accountability Plan, the Trustees may require the Education Corporation to submit a corrective plan for the school pursuant to § 8.3 of the Charter Agreement.

(e) The school calendar for the present school year, such calendar to be consistent with § 3.8(b) of the Charter Agreement, setting forth the days and hours of operation for the regular school session as well as the summer session in the succeeding calendar year, if any is to be provided.

(f) The statement of assurances relating to compliance with requirements under the Provisional Charter, Charter Agreement and applicable law, the form and requirements of which shall be determined by the Trustees and contained in the Annual Reporting Guidelines.

(g) A School Trustee Disclosure Report for each Corporate Trustee who served on the Education Corporation Board during the preceding year in such form and manner as prescribed by the Trustees and as contained in the Annual Reporting Guidelines.

(h) A statement regarding rates of attrition for both students and teachers during the previous fiscal and school year, the form and requirements of which shall be determined by the Trustees and as contained in the Annual Reporting Guidelines.

(i) A brief statement, as more fully described in the Annual Reporting Guidelines, setting forth changes to the school's educational program and mission as well as governing and organizational structures, during the previous fiscal and school year.

(j) The school's progress in meeting the Enrollment and Retention Targets, the form and requirements of which shall be determined by the Trustees and contained in the Annual Reporting Guidelines or otherwise posted on the website of the Institute.

6.2 Financial Reports. The School Corporation shall provide the financial reports required by sections 5.1, 5.2, 5.3 and 5.5 of the Charter Agreement pursuant to the terms and dates specified therein.

6.3 Child Abuse in an Educational Setting. Whenever the Education Corporation makes a determination under Article 23-B of the Education Law that there is a reasonable suspicion to believe that an act of child abuse has occurred at one of its schools (within the meaning of the statute), the Education Corporation must notify the Trustees

regarding same in addition to the other required statutory notifications. The Trustees shall not redisclose this information except in accordance with applicable law.

SECTION 7. OTHER COVENANTS AND WARRANTIES

7.1 Compliance with Laws and Regulations. The Education Corporation shall operate at all times in accordance with the Act and other applicable laws, rules and regulations and its schools shall meet the same health and safety, civil rights, and student assessment requirements as are applicable to other public schools, except as otherwise set forth in the Act.

7.2 Freedom of Information and Open Meetings Law. The Education Corporation shall maintain and implement policies in order to ensure that it is in compliance with Articles Six (“**FOIL**”) and Seven (“**Open Meetings Law**”) of the New York Public Officers Law and all corresponding regulations.

(a) The Education Corporation shall: (i) issue FOIL “regulations” in accordance with the regulations of the Committee on Open Government; (ii) maintain a FOIL policy for each school accessible to parents; and (iii) post and have accessible the required notices and lists, as applicable, set forth in Article 6 of the Public Officers Law.

(b) The Education Corporation Board shall: (1) promulgate an Open Meetings Law policy that is accessible to parents in each school; (ii) post notices and provide a media advisory in accordance with the Open Meetings Law regarding each Education Corporation Board meeting; and (iii) take and maintain minutes of all meetings and executive sessions of the Education Corporation Board and its committees, if any.

7.3 Non-discrimination. The Education Corporation shall not discriminate against any student, employee or any other person on the basis of ethnicity, national origin, gender (except with respect to students in single-sex schools), or disability or any other ground that would be unlawful if done by any other public school. It shall take all steps necessary to ensure that discrimination does not occur, as required by federal civil rights laws.

SECTION 8. CORPORATE AND SCHOOL RENEWAL; CORRECTIVE PLANS; TERMINATION

8.1 Corporate Renewal Notice. No later than August 1 in the calendar year prior to expiration of the Provisional Charter, the Education Corporation may provide to the Trustees an application to extend the Provisional Charter in accordance with Education Law § 2851(4) (the “**Extension Application**”). The Trustees may, at their sole discretion, waive the August 1 date restriction upon a written request from the Education Corporation; however, the publication of a later application deadline date on the website of the Institute shall constitute such waiver. The Extension Application shall conform to the Institute’s guidelines and contain:

(a) a report of the progress of the Education Corporation in achieving the educational objectives set forth in the Charter; and

(b) a detailed financial statement disclosing the cost of administration, instruction, and other spending categories for the Education Corporation that will allow a comparison of such costs to other schools, both public and private; and

(c) copies of each of the Annual Reports of the schools the Education Corporation operates including the school report cards and certified financial statements; and

(d) evidence of parent and student satisfaction at each school;

(e) the means by which each school will meet or exceed each school's Enrollment and Retention Targets; and

(f) such other material and information as is required by the Trustees.

8.2 Approval or Denial of Charter Extension. The Trustees shall either approve or deny the Extension Application. In the event that the Extension Application is not approved, then the parties to the Charter Agreement shall fulfill their respective obligations hereunder to the end of the term of the Provisional Charter, and the Education Corporation shall follow the procedures for dissolution as set forth in Education Law § 2851(2)(t) as supplemented by § 8.9 of this Charter Agreement. In the event that the Extension Application is granted, the Trustees, pursuant to Education Law §§ 2851(4) and 2852, shall enter into a proposed renewal charter with the Education Corporation and forward the proposed renewal charter and Extension Application to the Regents. Nothing herein shall obligate the Trustees to approve an Extension Application or resubmit a proposed renewal charter.

8.3 School Renewal Notice. No later than August 1 in the calendar year that is the last year of a school's Accountability Period (as defined in the Accountability Plan Guidelines), the Education Corporation may provide to the Trustees an application to extend the authority to operate a school (the "**School Renewal Application**"). The Trustees may, at their sole discretion, waive the August 1 date restriction upon a written request from the Education Corporation; however, the publication of a later application deadline date on the website of the Institute shall constitute such waiver. The School Renewal Application shall conform to the Institute's guidelines and contain:

(a) a report of the progress of the school in achieving the educational objectives set forth in the Terms of Operation; and

(b) a detailed financial statement disclosing the cost of administration, instruction, and other spending categories for the school that will allow a comparison of such costs to other schools, both public and private; and

- (c) copies of each of the Annual Reports of the school including the school report cards and certified financial statements; and
- (d) evidence of parent and student satisfaction at the school;
- (e) the means by which the school will meet or exceed its Enrollment and Retention Targets; and
- (f) such other material and information as is required by the Trustees.

8.4 Approval or Denial of School Renewal. The Trustees shall either approve or deny the School Renewal Application. In the event that the School Renewal Application is not approved, the Education Corporation shall close the school at the end of the school year that corresponds with the end of the period the Education Corporation may operate the school, and the Education Corporation shall follow the procedures for school closure as set forth in § 8.8 of this Charter Agreement. In the event that the School Renewal Application is granted in whole or part, the Trustees, pursuant to Education Law § 2852(7), shall enter into a proposed charter revision with the Education Corporation to amend the Terms of Operation to allow the Education Corporation to operate the school for an additional period of time in accordance with the Trustees renewal practices, which will be available on the website of the Institute, and forward the proposed revision to the Regents. In the event the Provisional Charter term does not correspond to the school's renewal period, and the Provisional Charter would expire prior to the expiration of the school's renewal term, the Trustees will, upon application, so extend the charter term unless there is cause to revoke or terminate the Charter at that time pursuant to the Act or this Charter Agreement. Nothing herein shall obligate the Trustees to approve a School Renewal Application or an Extension Application or resubmit a proposed revision to renew the authority to operate a school.

8.5 Corrective Plans. If the Trustees determine that the Education Corporation or any of its schools or sites is not progressing toward one or more of the performance or education goals set forth in the Charter, that the quality of a school's or site's educational program or the Education Corporation's governance practices are not satisfactory, or that the Education Corporation or any of its schools or sites is not in compliance with the terms and conditions of the Provisional Charter or the Charter Agreement including the Monitoring Plan, then the Trustees, in consultation with the Education Corporation, may develop and require the Education Corporation to implement a corrective plan ("**Corrective Plan**"). Nothing contained herein shall require the Trustees to undertake the development of a Corrective Plan or be in derogation of the Trustees' or the Regents' ability to revoke the Provisional Charter, place the Education Corporation on probationary status, or initiate mandatory remedial action in accordance with the Act and §§ 8.6 and 8.7 of the Charter Agreement.

8.6 Grounds for Charter Termination or Revocation. The Charter may be terminated and revoked:

(a) by the Trustees or the Regents in accordance with Education Law § 2855; or

(b) by mutual agreement of the Parties hereto.

8.7 Grounds for School Closure. The Education Corporation's authority to operate any school may be terminated or revoked:

(a) should the Trustees determine that one of the grounds set forth in Education Law § 2855 apply to such school; or

(b) by mutual agreement of the Parties hereto.

8.8 Notice and Procedures. (a) Should the Trustees determine that one of the grounds for termination or revocation of the Charter as defined under the Act has occurred or is occurring, the Trustees may, at their discretion, elect as follows:

(i) to terminate the Charter; or

(ii) terminate the Education Corporation's authority to operate one or more programs, schools or sites, or any combination thereof; or

(iii) to place the Education Corporation on probationary status and prepare and cause the Education Corporation to implement a remedial action plan the terms and conditions of which the Education Corporation must agree to abide by in all respects.

(b) Should the Trustees elect to terminate the Charter, notice of such shall be provided to the Education Corporation Board at least thirty (30) days prior to the effective date of the proposed termination. Such notice shall include a statement of reasons for the proposed termination. Prior to termination of the Charter, the Education Corporation shall be provided an opportunity to be heard and present evidence in opposition to termination.

(c) Should the Trustees elect to place the Education Corporation on probationary status, such probation shall be effective upon notice to the Education Corporation. In the event that the Education Corporation is placed on probationary status, and does not abide by the terms and conditions of the remedial action plan to the satisfaction of the Trustees, or refuses to implement such plan, the Trustees may declare the Charter terminated with notice of such decision to be given to the Education Corporation Board at least five (5) days prior to the termination date set by the Trustees. The terms and conditions of a remedial plan may include, but are not limited to, the termination of the authority of the Education Corporation to operate a school, site or program.

(d) Should the Trustees elect to terminate the authority of the Education Corporation to operate a school or site, notice of such shall be provided to the Education Corporation Board in the same manner as set forth in subsection (b) of this § 8.8.

(e) Should the Trustees elect to terminate the authority of the Education Corporation to operate a program, notice will be provided to the Education Corporation, but the Trustees are not obligated to follow the procedures set forth above.

8.9 Education Corporation Dissolution and Dissolution Reserve Fund.

(a) In the event of termination of the Charter, whether prematurely or otherwise, the Education Corporation shall establish and follow procedures consistent with those required by subdivision 2851(2)(t) of the Education Law for the transfer of students and student records to the school district in which each school is located and for the disposition of the Education Corporation's assets to another charter school located within the school district or the school district in which the Education Corporation is located. In addition, in case of such an event, voluntary surrender of the Charter or the closure of all of the schools of the Education Corporation without termination of the Charter, the Education Corporation will follow any additional procedures required by the Trustees or the Regents to ensure an orderly dissolution or transition process, (including the implementation of an education corporation closure plan as provided by and posted on the website of the Institute, appointment of pupil placement coordinators, a custodian of records and any other necessary personnel).

(b) The Education Corporation must create a dissolution reserve fund or account for purposes of school closure and/or dissolution of the Education Corporation in an amount to be determined as follows:

(i) seventy-five thousand dollars (\$75,000) per school for each of the first two (2) schools operated by the Education Corporation to be funded, at a minimum, by reserving twenty-five thousand dollars (\$25,000) per year during the first three (3) years of operation of each school;

(ii) twenty-five thousand dollars (\$25,000) per school for each additional school operated by the Education Corporation to be reserved in the first year of operation of each school up to a maximum of three hundred and fifty thousand dollars (\$350,000).

(c) In the event any of the conditions in sections 8.7 or 8.8 exist or any of the following events:

(i) grounds for termination or revocation of the Charter or of the authority of the Education Corporation to operate any of its schools exist as set forth in the Act or this Charter Agreement, or there is fiscal mismanagement, lack of organizational viability, or lack of educational soundness; or

(ii) when the Trustees make a finding that any school of the

Education Corporation is far from meeting most of the goals in its Accountability Plan and not making substantial progress toward meeting those goals;

(iii) when the Trustees deny approval of a charter extension for the Education Corporation or deny school renewal for one or more schools; or

(iv) current or future litigation, or other events that threaten the fiscal soundness of the Education Corporation as determined by the Trustees;

the Trustees may require the escrow or other third-party safeguarding of the funds in the dissolution reserve account and may require funds disbursed therefrom pursuant to terms and conditions determined by the Trustees or their designee.

(c) In the event the Education Corporation draws down funds from the dissolution reserve fund but does not dissolve, the Education Corporation shall deposit funds into the account to maintain the minimum balance set forth in this Charter Agreement. The Education Corporation shall provide notice to the Trustees anytime funds from the dissolution reserve fund are drawn or used for any purpose not set forth in this section.

(d) The provisions of this § 8.9 shall survive the termination, revocation or expiration of this Charter Agreement, the Charter or the Provisional Charter.

8.10 School Closure Procedures and Plan. (a) In the event of non-renewal or closure of one of the schools or sites operated by the Education Corporation, whether prematurely or otherwise, the Education Corporation shall establish and follow procedures consistent with those required by subdivision 2851(2)(t) of the Education Law, implement a school closure plan as published at that time on the website of the Institute, and follow any additional procedures required by the Trustees to ensure an orderly closure or transition process. The Education Corporation must put in place procedures transfer students to other schools operated by the Education Corporation or the school district in which the school is located, and inform parents regarding educational options. In addition, the Education Corporation must retain and safeguard any student records from such school, and forward copies of same to each student's new school or district as appropriate.

SECTION 9. MISCELLANEOUS

9.1 Disclaimer of Liability. The parties acknowledge that the Education Corporation is not operating as the agent, or under the direction and control, of the Institute, the Trustees or the Regents except as required by law, Provisional Charter or this Charter Agreement, and that none of the Institute, the Trustees or the Regents assumes any liability for any loss or injury resulting from:

(a) the acts and omissions of the Education Corporation, its directors, trustees, agents or employees; or

(b) the use and occupancy of the building or buildings, occupied by the Education Corporation, or any matter in connection with the condition of such building or buildings; or

(c) any debt or contractual obligation incurred by the Education Corporation.

The Education Corporation acknowledges that it is without authority to extend the faith and credit of the Institute, the Trustees, the Regents or the public district schools to any third party.

9.2 Notice of Receipt of Summons, Complaint or Other Litigation. The Education Corporation shall provide written notice to the Trustees within five (5) business days of the receipt of any civil or criminal summons, complaint, arbitration or other litigation papers in which either the Education Corporation or any Corporate Trustee, officer or employee (acting in his or her corporate capacity) is a named party to the action or other proceeding. Upon request of the Trustees copies of all such, and subsequent, action or proceeding papers shall be provided to the Trustees.

9.3 Governing Law. This Charter Agreement shall be governed by, subject to and construed under the laws of the State without regard to its conflicts of law provisions.

9.4 Waiver. No waiver of any breach of this Charter Agreement shall be held as a waiver of any other or subsequent breach.

9.5 Counterparts; Signature by Facsimile. This Charter Agreement may be signed in counterparts, which shall together constitute the original Charter Agreement. Signatures received by facsimile by either of the Parties shall have the same effect as original signatures.

9.6 Terms and Conditions of Operation. (a) The Parties expressly agree that the Terms of Operation set forth overall goals, standards and general operational policies of the Education Corporation and the school(s) and site(s) it is permitted to operate, and that the Terms of Operation are not a complete statement of each detail of the Education Corporation's or the schools' or sites' operations. To the extent that the Education Corporation desires to implement specific policies, procedures or other specific terms of operation that supplement or otherwise differ from those set forth in the Terms of Operation, the Education Corporation shall be permitted to implement such policies, procedures, and specific terms of operation without seeking the permission of the Trustees or a revision to the Charter Agreement, provided that such policies, procedures and terms of operation and any changes thereto are not otherwise prohibited, circumscribed or limited by the Act, other applicable law, the Provisional Charter or this Charter Agreement.

(b) Where there is a conflict between the terms of the Charter Agreement and the Terms of Operation, the terms of the Charter Agreement shall govern. Where a provision of the Charter Agreement provides additional terms or conditions as to modifying a specific policy, provision or term of operation, such specific terms and conditions shall govern. Where a provision of the Additional Assurances and Terms conflicts with the general Terms of Operation or the Charter Agreement such provision of the Additional Assurances and Terms shall govern. Where a provision of the Charter Agreement conflicts with the Provisional Charter, the terms of the Provisional Charter shall govern.

9.7 Revision. This Charter Agreement may be revised only by written consent of the Parties hereto and, in the case of material revisions, only pursuant to Education Law § 2852(7).

9.8 Assignment. This Charter Agreement may not be assigned or delegated by the Applicant(s) or the Education Corporation under any circumstances, it being expressly understood that the Charter granted hereby runs solely and exclusively to the benefit of the Education Corporation.

9.9 Notices. Any notice, demand, request or submission from one Party to any other Party or parties hereunder shall be deemed to have been sufficiently given or served for all purposes if and as of the date, it is delivered by hand, overnight courier, facsimile (with confirmation), by electronic mail as an attachment thereto with an valid electronic signature or an electronic image of a physical signature (.pdf format) or within three (3) business days of being sent by registered or certified mail, postage prepaid, to the parties at the following addresses:

If to the Education Corporation: Success Academy Charter Schools - NYC
141 East 111th Street
New York, NY 10029

With a copy to: Success Academy Charter Schools, Inc.
310 Lennox Avenue
2nd Floor
New York, NY 10027

If to the Trustees: Charter Contract Desk
SUNY Charter Schools Institute
41 State Street, Suite 700, Albany, New York 12207
charters@suny.edu.

9.10 Severability. In the event that any provision of this Charter Agreement or the Terms of Operation thereof to any person or in any circumstances shall be determined to be invalid, unlawful, or unenforceable to any extent, the remainder of this Charter Agreement

and the application of such provision to persons 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 Charter Agreement shall continue to be valid and may be enforced to the fullest extent permitted by law.

9.11 Entire Charter. The Charter Agreement supersedes and replaces any and all prior agreements and understandings between the Trustees and the Applicant(s). To the extent that any conflict or incompatibility exists between the Terms of Operation and the other terms of this Charter Agreement, such other terms of this Charter Agreement shall control.

9.12 Construction. (a) This Charter Agreement shall be construed fairly as to both Parties and not in favor of or against either Party, regardless of which Party prepared the Charter Agreement.

(b) Wherever “charter application” appears herein, it shall be construed and used interchangeably with “proposal” as required by the context and the facts of charter issuance for any particular school or education corporation.

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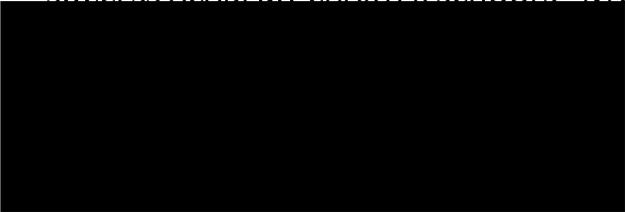
BOARD OF TRUSTEES OF THE
STATE UNIVERSITY OF NEW YORK



By: Susan Miller Barker, acting for the Board of
Trustees of the State University of New York

Title: Executive Director, State University of New York,
Charter Schools Institute

SUCCESS ACADEMY CHARTER SCHOOLS - NYC



By: Catherine Shanker

Title: Board Member

SCHEDULE 1

The Education Corporation has the authority to operate the following schools (until the stated date):

1. Success Academy Charter School – Harlem 1 (through July 31, 2016);
2. Success Academy Charter School – Harlem 2 (through July 31, 2018);
3. Success Academy Charter School – Harlem 3 (through July 31, 2018);
4. Success Academy Charter School – Harlem 4 (through July 31, 2018) ;
5. Success Academy Charter School – Harlem 5 (through February 16, 2015);
6. Success Academy Charter School – Union Square (formerly Success Academy Charter School – Manhattan 1) (through July 31, 2018);
7. Success Academy Charter School – Hell’s Kitchen (formerly Success Academy Charter School – Manhattan 2) (through July 31, 2018);
8. Success Academy Charter School – Bronx 3 (through July 31, 2018);
9. Success Academy Charter School – Fort Greene (formerly Success Academy Charter School – Brooklyn 5) (through July 31, 2018);
10. Success Academy Charter School – Prospect Heights (formerly Success Academy Charter School – Brooklyn 6) (through July 31, 2018);
11. Success Academy Charter School – Crown Heights (formerly Success Academy Charter School – Brooklyn 7) (through July 31, 2018);
12. Success Academy Charter School – New York 1 (through July 31, 2019);
13. Success Academy Charter School – New York 2 (through July 31, 2019);
14. Success Academy Charter School – New York 3 (through July 31, 2019);
15. Success Academy Charter School – New York 4 (through July 31, 2019);
16. Success Academy Charter School – New York 5 (through July 31, 2019); and
17. Success Academy Charter School – New York 6 (through July 31, 2019).

EXHIBIT A

TERMS OF OPERATION

ADDITIONAL ASSURANCES AND TERMS

ACCOUNTABILITY PLAN

EXHIBIT A

TERMS OF OPERATION

ADDITIONAL ASSURANCES AND TERMS

ACCOUNTABILITY PLAN

EXHIBIT A (0)

CORPORATE TERMS OF OPERATION

Success Academy Charter Schools – NYC

Except as set forth in any part of this Exhibit A, the Terms of Operation of the Second Renewal Charter Agreement, dated as of July 30, 2013, between the Trustees and the Education Corporation (the “Second Renewal Charter Agreement”) are incorporated by reference and shall be the Terms of Operation for this Charter Agreement, such Terms of Operation remaining in effect.

The following attachments supersede and shall replace the incorporated Second Renewal Charter Agreement Terms of Operation:

Response 4 – Enrollment;

Response 9(b) – Discipline Policy;

Response 9(c) – Special Education Discipline Policy;

Response 11(a) – Staffing Chart and Rationale;

Response 11(d) - Personnel Policy;

Response 15(d) - Admissions Policy; and

Response 22(b) - Financial Policies and Procedures.

EXHIBIT A (1)

TERMS OF OPERATION

Success Academy Charter School – Harlem 1

The Terms of Operation of the Second Renewal Charter Agreement are incorporated by reference and, as modified by Exhibit A (0) herein, shall be the Terms of Operation for this school, such Terms of Operation being or remaining in effect.

EXHIBIT A (2)

TERMS OF OPERATION

Success Academy Charter School – Harlem 2

The Terms of Operation of the Second Renewal Charter Agreement are incorporated by reference and, as modified by Exhibit A (0) herein, shall be the Terms of Operation for this school, such Terms of Operation being or remaining in effect.

EXHIBIT A (3)

TERMS OF OPERATION

Success Academy Charter School – Harlem 3

The Terms of Operation of the Second Renewal Charter Agreement are incorporated by reference and, as modified by Exhibit A (0) herein, shall be the Terms of Operation for this school, such Terms of Operation being or remaining in effect.

EXHIBIT A (4)

TERMS OF OPERATION

Success Academy Charter School – Harlem 4

The Terms of Operation of the Second Renewal Charter Agreement are incorporated by reference and, as modified by Exhibit A (0) herein, shall be the Terms of Operation for this school, such Terms of Operation being or remaining in effect.

EXHIBIT A (5)

TERMS OF OPERATION

Success Academy Charter School – Harlem 5

The Terms of Operation of the Second Renewal Charter Agreement are incorporated by reference and, as modified by Exhibit A (0) herein, shall be the Terms of Operation for this school, such Terms of Operation being or remaining in effect.

EXHIBIT A (6)

TERMS OF OPERATION

Success Academy Charter School – Union Square

The Terms of Operation of the Second Renewal Charter Agreement are incorporated by reference and, as modified by Exhibit A (0) herein, shall be the Terms of Operation for this school, such Terms of Operation being or remaining in effect.

EXHIBIT A (7)

TERMS OF OPERATION

Success Academy Charter School – Hell’s Kitchen

The Terms of Operation of the Second Renewal Charter Agreement are incorporated by reference and, as modified by Exhibit A (0) herein, shall be the Terms of Operation for this school, such Terms of Operation being or remaining in effect.

EXHIBIT A (8)

TERMS OF OPERATION

Success Academy Charter School – Bronx 3

The Terms of Operation of the Second Renewal Charter Agreement are incorporated by reference and, as modified by Exhibit A (0) herein, shall be the Terms of Operation for this school, such Terms of Operation being or remaining in effect.

EXHIBIT A (9)

TERMS OF OPERATION

Success Academy Charter School – Fort Greene

The Terms of Operation of the Second Renewal Charter Agreement are incorporated by reference and, as modified by Exhibit A (0) herein, shall be the Terms of Operation for this school, such Terms of Operation being or remaining in effect.

EXHIBIT A (10)

TERMS OF OPERATION

Success Academy Charter School – Prospect Heights

The Terms of Operation of the Second Renewal Charter Agreement are incorporated by reference and, as modified by Exhibit A (0) herein, shall be the Terms of Operation for this school, such Terms of Operation being or remaining in effect.

EXHIBIT A (11)

TERMS OF OPERATION

Success Academy Charter School – Crown Heights

The Terms of Operation of the Second Renewal Charter Agreement are incorporated by reference and, as modified by Exhibit A (0) herein, shall be the Terms of Operation for this school, such Terms of Operation being or remaining in effect.

EXHIBIT A (12)

TERMS OF OPERATION

Success Academy Charter School – New York 1

EXHIBIT A (13)

TERMS OF OPERATION

Success Academy Charter School – New York 2

EXHIBIT A (14)

TERMS OF OPERATION

Success Academy Charter School – New York 3

EXHIBIT A (15)

TERMS OF OPERATION

Success Academy Charter School – New York 4

EXHIBIT A (16)

TERMS OF OPERATION

Success Academy Charter School – New York 5

EXHIBIT A (17)

TERMS OF OPERATION

Success Academy Charter School – New York 6

EXHIBIT B

MONITORING PLAN

Monitoring Plan

As provided in the Charter Agreement, the Education Corporation agrees to abide by a Monitoring Plan, the general components of which are set forth below. The requirements of the Monitoring Plan are in addition to any notification, record-keeping, or reporting requirements set forth in the Charter Agreement or applicable law including any obligation to receive the written approval of the Trustees or the Institute, and/or to seek approval for revision of the Charter pursuant to Education Law § 2852(7).

- A. The Education Corporation shall maintain the following records in its offices for inspection by the Trustees and the Regents:
1. Records concerning the enrollment and admissions process including all applications received and documents concerning the lottery process if conducted;
 2. Student academic and health records;
 3. Attendance records for students, including withdrawals of students from each school;
 4. Individual Education Programs and other documentation concerning the Individuals with Disabilities Education Act as well as documentation concerning section 504 of the Rehabilitation Act of 1975 for children with disabilities enrolled in each school;
 5. Staff rosters including records of hiring, resignation, and termination of employees of the Education Corporation;
 6. Evidence of credentials and/or qualifications for all teachers;
 7. Evidence that required fingerprint supported background checks and emergency conditional appointments, if any, have been conducted for all school employees;
 8. Certificates of occupancy or other facility-related certifications or permits;
 9. Lease agreements and/ or mortgages or deeds;
 10. Loan documents;
 11. Contracts in excess of \$1,000 including management contracts;
 12. Education Corporation or school policies in areas such as financial management, personnel, student discipline (including suspension and

expulsion), complaints, health and safety, student privacy and transportation, Freedom of Information Law, Open Meetings Law and other areas required by the Charter Agreement or law;

13. Grievances made by students, parents, teachers, and other employees of the Education Corporation including, but not limited to, complaints received by the Education Corporation Board or designee pursuant to subdivision 2855(4), together with documentation of all actions taken in response;
 14. Inventory of all assets of the Education Corporation that have been purchased with public funds including grant funds; and
 15. Documents sufficient to substantiate each school's progress on the measurable goals set forth in its Accountability Plan.
- B. To corroborate information submitted by the Education Corporation to the Trustees, and in order to ensure the Education Corporation's full compliance with the Act, the Provisional Charter and the Charter Agreement, the Trustees will:
1. Make at least one visit to each school in its first year of operation, not including the Prior Action Visit. Such visits may include an inspection of the physical plant, all categories of records set forth in subsection A of the Monitoring Plan, interviews with the director of the school and other personnel, and observation of instructional methods. Visits in later years may decrease in frequency and be conducted by consultants or agents of the Charter Schools Institute;
 2. Make at least one other visit to each school, which may be announced or unannounced;
 3. Require the Education Corporation to make available necessary information in response to the Trustee's inquiries including information necessary for the Trustees to prepare annual or semi-annual evaluations of each school's financial operations, academic program, future outlook and other areas;
 4. Conduct internal investigations as appropriate on its own initiative or in response to (i) concerns raised by students, parents, employees, local school districts and other individuals or groups including, but not limited to, complaints brought pursuant to Education Law § 2855(4). Where appropriate, the Trustees shall issue remedial orders as permitted by Education Law § 2855(4);
 5. Review as necessary the Education Corporation's and its schools' operations to determine whether any changes in such operations require formal revision of the Charter pursuant to Education Law § 2852(7) and, if so, determine whether such revision should be recommended for approval; and

6. Encourage relevant officers, employees and agents of the Education Corporation to attend conferences, seminars and training sessions identified or sponsored by the Trustees and which are designed to assist the Education Corporation to fulfill its mission.
- C. The Education Corporation Board shall provide the Institute with a copy of all minutes from each of its meetings, committee meetings and executive sessions within 30 days of the meeting or session regardless of whether same have been ratified or approved.

EXHIBIT C

ASSURANCES REGARDING SPECIAL EDUCATION

Assurances Regarding Special Education

The Education Corporation provides the following assurances regarding the provision of special education and other services to students to be enrolled at each proposed charter school.

- The Education Corporation will adhere to all provisions of federal law relating to students with disabilities including the IDEA, Section 504, and Title II of the ADA which are applicable to it.
- The Education Corporation will, consistent with applicable law, work with Local Educational Agency (LEA) school districts to ensure that all students with disabilities that qualify under the IDEA:
 - have available a free appropriate public education (“FAPE”);
 - are appropriately evaluated;
 - are provided with an IEP;
 - receive an appropriate education in the least restrictive environment (LRE);
 - are involved in the development of and decisions regarding the IEP, along with their parents; and
 - have access to appropriate procedures and mechanisms, along with their parents, to resolve any disputes or disagreements related to a school’s or school district’s provision of FAPE.
- Unless otherwise approved by the Trustees, the Education Corporation will employ for each school, at a minimum, a properly certified individual as the school’s special education coordinator, whose responsibilities will include coordinating with CSEs; providing information to and obtaining information from CSEs as needed throughout the year; determining if entering students have IEPs; and working with CSEs and school districts to ensure that all required special education and related services are being provided and that all IEPs are appropriate in the context of the charter school setting. The Education Corporation may permit the special education coordinator to take on additional administrative duties to the extent that they do not interfere with the coordinator’s responsibilities to ensure the school’s compliance with the IDEA, Section 504 and Title II of the ADA.
- Each school will make available, as required by law, a student’s regular and special education teachers (and other required school personnel) for meetings convened by such student’s CSE, and provide such teachers and personnel with copies of the student’s IEP.

- Each school 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 parents of regular education children.
- Each school will abide by the applicable provisions and regulations of the IDEA and the Family Educational Rights Privacy Act of 1974 (FERPA) 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.
- Each school's special education coordinator will retain such data and prepare such reports as are needed by each disabled student's school district of residence or the State Education Department in order to permit such entities to comply with federal law and regulations.
- Each school will comply with its obligations under the Child Find requirements of IDEA including 34 C.F.R. § 300.111, and will provide appropriate notification to parents in connection therewith as applicable, including notifying them prior to providing a child's name to a CSE for potential evaluation.
- No school or the Education Corporation will convene its own CSE, make IDEA evaluations of children suspected of being disabled, create IEPs, reevaluate or revise existing IEPs or conduct due process hearings. The Education Corporation understands that these responsibilities are left solely to the CSE of the student's district of residence and the Education Corporation will implement IEPs as written.
- Appropriate Education Corporation personnel will attend such training and technical assistance seminars regarding the education and servicing of special education students as is required by the Trustees including those sponsored by the State Education Department.

Appendix E.
a) Copy of the charter agreement

July 2014 Amendment to Schedule 1:

Identification of Schools Operated by the Education Corporation



Charter Schools Institute
The State University of **New York**

41 State Street, Suite 700
Albany, New York 12207

www.newyorkcharters.org

July 14, 2014

Via Electronic Mail

Mr. Samuel Cole
Board Chair
Success Academy Charter Schools – NYC
95 Pine Street, Floor 6
New York, NY 10005

Re: **Updated Success Academy Charter Schools – NYC**
Requests for Name and Location Changes for Several Schools

Dear Mr. Cole:

The SUNY Charter Schools Institute (the “Institute”) is in receipt of requests for changes in program from Success Academy Charter Schools - NYC (the “Education Corporation”). Specifically, the Education Corporation seeks to change the Community School District (“CSD”) of location for Success Academy Charter School New York 1 from CSD 2 to CSD 6 and Success Academy Charter School New York 5 from CSD 27 to CSD 29. In addition, the Education Corporation seeks to change the name of its schools as follows:

- Success Academy Charter School - New York 1 to Success Academy Charter School - Washington Heights
- Success Academy Charter School - New York 2 to Success Academy Charter School - Bronx 4
- Success Academy Charter School - New York 3 to Success Academy Charter School - Bensonhurst
- Success Academy Charter School - New York 4 to Success Academy Charter School - Bergen Beach
- Success Academy Charter School - New York 5 to Success Academy Charter School - Rosedale
- Success Academy Charter School - New York 6 to Success Academy Charter School - Springfield Gardens

The legal name of the Education Corporation would remain Success Academy Charter Schools - NYC.

The Institute has reviewed the requests and finds that: (1) as the change in location for each school does not change the New York City borough of location; and (2) given the education corporation’s legal name remains unchanged and the names of the individual schools are appropriate, the Institute per section 1.6 of the Education Corporation’s Charter Agreement hereby approves the name changes. These amendments do not constitute material changes in program requiring the formal approval of the Institute or the SUNY Charter Schools Committee acting on behalf of the Board of Trustees of the State University of New York because such changes are

To Learn
To Search
To Serve

encompassed by and generally consistent with the Education Corporation's Charter Agreement and Terms of Operation.

Please note that per section 3.5 of the Charter Agreement, the Education Corporation must note these amendments in its annual report to the State Education Department and the Institute. By copy of this letter we are notifying the State Education Department of the change.

Should you have any questions regarding this matter please do not hesitate to contact me at [REDACTED]

Very truly yours,

[REDACTED]

Ralph A. Rossi II
Executive Deputy Director
and General Counsel

cc: Charter Schools Office, SED (via Email w/Schedule 1)
Peter Cymrot (via Email)
DawnLynne Kacer, NYCDOE

SCHEDULE 1

Updated July 10, 2014

The Education Corporation has the authority to operate the following schools (until the stated date):

1. Success Academy Charter School – Harlem 1 (through July 31, 2016);
2. Success Academy Charter School – Harlem 2 (through July 31, 2018);
3. Success Academy Charter School – Harlem 3 (through July 31, 2018);
4. Success Academy Charter School – Harlem 4 (through July 31, 2018);
5. Success Academy Charter School – Harlem 5 (through February 16, 2015);
6. Success Academy Charter School – Union Square (formerly Success Academy Charter School – Manhattan 1) (through July 31, 2018);
7. Success Academy Charter School – Hell’s Kitchen (formerly Success Academy Charter School – Manhattan 2) (through July 31, 2018);
8. Success Academy Charter School – Bronx 1 (through February 16, 2015);
9. Success Academy Charter School – Bronx 2 (through February 16, 2015);
10. Success Academy Charter School – Bronx 3 (through July 31, 2018);
11. Success Academy Charter School – Upper West (through July 31, 2016);
12. Success Academy Charter School – Bedford Stuyvesant 1 (formerly Success Academy Charter School – Brooklyn 1) (through July 31, 2016);
13. Success Academy Charter School – Bedford Stuyvesant 2 (formerly Success Academy Charter School – Brooklyn 2) (through July 31, 2017);
14. Success Academy Charter School – Cobble Hill (formally Success Academy Charter School – Brooklyn 3) (through July 31, 2017);
15. Success Academy Charter School – Williamsburg (formerly Success Academy Charter School – Brooklyn 4) (through July 31, 2017);
16. Success Academy Charter School – Fort Greene (formerly Success Academy Charter School – Brooklyn 5) (through July 31, 2018);
17. Success Academy Charter School – Prospect Heights (formerly Success Academy Charter School – Brooklyn 6) (through July 31, 2018);
18. Success Academy Charter School – Crown Heights (formerly Success Academy Charter School – Brooklyn 7) (through July 31, 2018);
19. Success Academy Charter School – Washington Heights (formerly Success Academy Charter School – New York 1) (through July 31, 2019);
20. Success Academy Charter School – Bronx 4 (formerly Success Academy Charter School – New York 2) (through July 31, 2019);
21. Success Academy Charter School – Bensonhurst (formerly Success Academy Charter School – New York 3) (through July 31, 2019);
22. Success Academy Charter School – Bergen Beach (formerly Success Academy Charter School – New York 4) (through July 31, 2019);
23. Success Academy Charter School – Rosedale (formerly Success Academy Charter School – New York 5) (through July 31, 2019); and
24. Success Academy Charter School – Springfield Gardens (formerly Success Academy Charter School – New York 6) (through July 31, 2019).

Appendix E.
**b) Documentation of whether
schools were established and are
recognized as separate schools**

List of Unique School IDs (BEDS Code) as issued by
New York State Education Department

Entity	BEDS Code
Success Academy Charter School - Harlem 1	310300860897
Success Academy Charter School - Harlem 2	310500860921
Success Academy Charter School - Harlem 3	310400860922
Success Academy Charter School - Harlem 4	310300860923
Success Academy Charter School - Harlem 5	310500860979
Success Academy Charter School - Hell's Kitchen	310200861043
Success Academy Charter School - Union Square	310200861042
Success Academy Charter School - Upper West	310300861008
Success Academy Charter School - Bronx 1	320700860981
Success Academy Charter School - Bronx 2	320900860980
Success Academy Charter School - Bronx 3	320800861044
Success Academy Charter School - Crown Heights	331700861041
Success Academy Charter School - Prospect Heights	331700861040
Success Academy Charter School - Fort Greene	331300861039
Success Academy Charter School - Bed Stuy 1	331400861007
Success Academy Charter School - Bed Stuy 2	331400861022
Success Academy Charter School - Cobble Hill	331500861023
Success Academy Charter School - Williamsburg	331400861024
Success Academy Charter School - Washington Heights	310200861073
Success Academy Charter School - Bronx 4	320800861074
Success Academy Charter School - Bensonhurst	332100861075
Success Academy Charter School - Bergen Beach	332200861076
Success Academy Charter School - Rosedale	342700861077
Success Academy Charter School - Springfield Garden	342900861078

Appendix E.

c) Performance Agreement with the authorized public chartering agency

As per section 3.7 of our charter agreement, Success Academy Charter Schools files an annual Accountability Plan Progress Report for each of its 24 active charters.

We have provided the 2013-14 Success Academy Harlem 1 Accountability Plan Progress Report as a sample.



**Success Academy Charter School –
Harlem 1**

**2013-14 ACCOUNTABILITY PLAN
PROGRESS REPORT**

Submitted to the SUNY Charter Schools Institute on:

September 15, 2014

By Brett Wagoner

34 West 118th St., Floor 2
New York, NY 10026

Brett Wagoner, Data Reporting Associate, prepared this 2013-14 Accountability Plan Progress Report on behalf of the school’s board of trustees:

Trustee’s Name	Board Position
Sam Cole	Chair
Bryan Binder	Vice Chair
Scott Friedman	Treasurer
Greg Sawers	Secretary
Cate Shinker	
Jay Bryant	
Sam Chainani	
Donna Kennedy	
Lance Rosen	
Derrell Bradford	
Khadijah Patrick-Pickel	<i>Ex-officio</i> Parent Representative

Danique Day Loving (K-4) and Andrea Klein (5-8) served as the school leaders in 2013-14.

INTRODUCTION

The mission of Success Academy Charter School – Harlem 1 (“SA Harlem 1”) is to provide students in New York City with an exceptionally high-quality education that gives them the knowledge, skills, character, and disposition to meet and exceed New York State Common Core Learning Standards and the resources to lead and succeed in school, college, and a competitive global economy.

School Enrollment by Grade Level and School Year¹

School Year	K	1	2	3	4	5	6	7	8	9	10	11	12	Total
2010-11	114	156	130	117	53	47								617
2011-12	94	118	180	132	114	49	40							726
2012-13	79	89	123	152	117	93	47	35						735
2013-14	105	112	114	109	135	105	81	50	32					843

¹ Enrollment numbers are current as of March 31, 2014. Per instruction from SUNY, enrollment numbers reflect originating charters.

ENGLISH LANGUAGE ARTS

Goal 1: English Language Arts

Students will demonstrate proficiency in reading, writing, and comprehending the English language.

Background

Believing that all students can succeed, SA Harlem 1 goes above and beyond Common Core standards. SA Harlem 1 uses THINK Literacy, a comprehensive balanced literacy program, in all grades. THINK Literacy was developed in-house by the Instructional Management team at Success Academy Charter Schools, the charter management organization. There are many components of THINK, including Shared Text, Guided Reading, Read Aloud with Discussion, Reading Workshop, and Writing Workshop. During Shared Text, the teacher displays a text and the whole class reads and analyzes it together, giving students practice interpreting brief, engaging texts. During Guided Reading, the teacher works with a small group of students to read and comprehend a book that is one level above what they can read and understand independently. During Read Aloud with Discussion, the teacher models the internal thinking that excellent readers exhibit, and students discuss their ideas about the book with their classmates. During Reading Workshop and Writing Workshop, students internalize key aspects of great reading and writing, through direct instruction, independent work, and partner work. All THINK components press students to read, write, think, and speak with clarity and precision.

In kindergarten and first grade, students also receive extensive phonics instruction. This early literacy curriculum is modeled on an enhanced version of Success For All (SFA), which has a proven track record in urban schools and has been implemented in 1,300 schools around the United States.

Students are assessed in reading regularly. They progress to the next instructional reading level when ready. Thus, children are assigned to appropriate reading levels based on reading performance, not age or grade.

SA Harlem 1 enforces specific protocols for how it collects, distributes, and analyzes data. These protocols work to help teachers and school leaders freely access information in real-time. In a fast-paced and constantly changing school environment, having ready access to academic data empowers the staff to better decide how to expend time and resources so as to maximize student achievement.

SA Harlem 1 views its teachers as Olympic athletes who must constantly train and improve their skills. Professional development is a regular part of their professional responsibilities as it develops skills, provides content area knowledge, and improves pedagogical techniques so that the teachers are prepared to “win the race” that is educating children. Further information is available in the school’s charter.

**Performance on 2013-14 State English Language Arts Exam
By All Students and Students Enrolled in At Least Their Second Year**

Grades	All Students		Enrolled in at least their Second Year	
	Percent	Number Tested	Percent	Number Tested
3	51.38%	109	50.93%	108
4	57.78%	135	57.78%	135
5	57.14%	105	57.14%	105
6	64.20%	81	64.20%	81
7	66.00%	50	66.00%	50
8	93.75%	32	93.75%	32
All	60.35%	512	60.27%	511

Evaluation

Schools across New York State experienced significantly lower scores on state exams in 2012-13 and 2013-14 due to the shift to assessments that measure the Common Core Learning Standards. These lower scores were anticipated by the New York State Department of Education as the new examination was expected to “effectively create a new baseline measurement of student learning.”³

Like the majority of other schools in the state, SA Harlem 1 students scored lower than in years prior to 2012-13. Despite the drop in pass rate, SA Harlem 1 ranks in the top 6% of elementary schools statewide (by overall proficiency rate) and has outperformed other schools in its district in the 2013-14 school year by a wide margin.

Additional Evidence

As noted above, the New York State English language arts examination increased in difficulty in 2012-13 and 2013-14, which greatly affects comparative data with prior years. As a result, pass rates on the 2013-14 English language arts test were lower than pass rates in 2011-12. But, as noted elsewhere, SA Harlem 1 ranks in the top 6% of elementary schools statewide.

English Language Arts Performance by Grade Level and School Year

Grade	Percent of Students Enrolled in At Least Their Second Year Achieving Proficiency					
	2011-12		2012-13		2013-14	
	Percent	Number Tested	Percent	Number Tested	Percent	Number Tested
3	87.5%	119	57.1%	149	50.93%	108
4	91.2%	113	54.7%	117	57.78%	135

³ See, e.g., *Memo from Commissioner King: Use of State Test Scores in Teacher and Principal Evaluations*, dated Aug. 2, 2013, available at <http://usny.nysed.gov/docs/memo-scores-release.pdf> (last visited Sept. 4, 2013).

Goal 1: Comparative Measure

Each year, the percent of all tested students who are enrolled in at least their second year and performing at proficiency on the state English language arts exam will be greater than that of all students in the same tested grades in the local school district.

Method

A school compares tested students enrolled in at least their second year to all tested students in the surrounding public school district. Comparisons are between the results for each grade in which the school had tested students in at least their second year at the school and the total result for all students at the corresponding grades in the school district.⁵

Results

SA Harlem 1 achieved an overall proficiency rate of 60.27% (for students enrolled in at least their second year), approximately 15 percentage points higher than District 3's proficiency rate of 45%.

**2013-14 State English Language Arts Exam
SA Harlem 1 and District Performance by Grade Level**

Grade	Percent of Students at Proficiency			
	SA Harlem 1 Students In At Least 2 nd Year		All District Students	
	Percent	Number Tested	Percent	Number Tested
3	50.93%	108	45%	1394
4	57.78%	135	54%	1415
5	57.14%	105	48%	1256
6	64.20%	81	42%	1348
7	66.00%	50	42%	1266
8	93.75%	32	41%	1326
All	60.27%	511	45%	8005

Evaluation

SA Harlem 1 met this goal with a proficiency rate that exceeded the local district's proficiency rate of 45% by approximately 15 percentage points. SA Harlem 1 outperformed the local district in all grade levels.

Additional Evidence

SA Harlem 1 considerably outperformed District 3 in the 2011-12, 2012-13, and 2013-14 school years.

⁵ Schools can acquire this data when the New York State Education Department releases its Access database containing grade level ELA and math test results for all schools and districts statewide. The NYSED announces the release of the data on its [News Release webpage](#).

**English Language Arts Performance of SA Harlem 1 and Local District
by Grade Level and School Year**

Grade	Percent of Students Enrolled in at Least their Second Year Who Are at Proficiency Compared to Local District Students					
	2011-12		2012-13		2013-14	
	SA Harlem 1	Local District	SA Harlem 1	Local District	SA Harlem 1	Local District
3	87.5%	61.7%	57.1%	49%	50.93%	45%
4	91.2%	65.3%	54.7%	44%	57.78%	54%
5	93.9%	58.6%	50.0%	42%	57.14%	48%
6	95.0%	58.4%	48.9%	35%	64.20%	42%
7			85.7%	40%	66.00%	42%
8					93.75%	41%
All	90.7%	61.0%	56.4%	42.1%	60.27%	45%

Goal 1: Comparative Measure

Each year, the school will exceed its predicted level of performance on the state English language arts exam by an Effect Size of 0.3 or above (performing higher than expected to a small degree) according to a regression analysis controlling for students eligible for economically disadvantaged students among all public schools in New York State.⁶

Method

The Charter Schools Institute conducts a Comparative Performance Analysis, which compares the school’s performance to demographically similar public schools state-wide. The Institute uses a regression analysis to control for the percentage of economically disadvantaged students among all public schools in New York State. The Institute compares the school’s actual performance to the predicted performance of public schools with a similar economically disadvantaged percentage. The difference between the schools’ actual and predicted performance, relative to other schools with similar economically disadvantaged statistics, produces an Effect Size. An Effect Size of 0.3 or performing higher than expected to a small degree is the requirement for achieving this measure.

Given the timing of the state’s release of economically disadvantaged data and the demands of the data analysis, the 2013-14 analysis is not yet available. This report contains 2012-13 results, the most recent Comparative Performance Analysis available.

⁶ The Institute will continue using *economically disadvantaged* instead of *eligibility for free lunch* as the demographic variable in 2013-14. Schools should report previous year’s results using reported free-lunch statistics.

Results

For the 2012-13 academic year, SA Harlem 1 demonstrated an effect size of 2.64, greatly exceeding the target value of 0.3.

2012-13 English Language Arts Comparative Performance by Grade Level

Grade	Percent of Economically Disadvantaged Students	Number of Students Tested	Percent of Students at Proficiency		Difference between Actual and Predicted	Effect Size
			Actual	Predicted		
3	80.5	152	55.9	21.6	34.3	2.56
4	76.4	117	54.7	22.0	32.7	2.53
5	82.5	92	50.0	20.2	29.8	2.22
6	84.8	47	48.9	15.0	33.9	2.74
7	73.0	35	85.7	21.9	63.8	4.32
8						
All	79.7	443	56.0	20.7	35.2	2.64

School's Overall Comparative Performance:
Higher than expected to a large degree

Evaluation

SA Harlem 1 met this goal with an effect size of 2.64. This value is substantially greater than the target effect size of 0.3.

Additional Evidence

In every academic year for which data has been provided, SA Harlem 1's effect size has been rated as "higher than expected to a large degree." SA Harlem 1 believes that it will demonstrate consistently high effect sizes in the years to come.

English Language Arts Comparative Performance by School Year

School Year	Grades	Percent Eligible for Free Lunch	Number Tested	Actual	Predicted	Effect Size
2010-11	Data Not Available to SA Harlem 1					
2011-12	3-6	64.9	333	91.0	47.6	2.88
2012-13	3-7	79.7	443	56.0	20.7	2.64

Goal 1: Growth Measure⁷

Each year, under the state's Growth Model, the school's mean unadjusted growth percentile in English language arts for all tested students in grades 4-8 will be above the state's unadjusted median growth percentile.

Method

This measure examines the change in performance of the same group of students from one year to the next and the progress they are making in comparison to other students with the same score in the previous year. The analysis only includes students who took the state exam in 2012-13 and also have a state exam score from 2011-12 including students who were retained in the same grade. Students with the same 2011-12 score are ranked by their 2012-13 score and assigned a percentile based on their relative growth in performance (student growth percentile). Students' growth percentiles are aggregated school-wide to yield a school's mean growth percentile. In order for a school to perform above the statewide median, it must have a mean growth percentile greater than 50.

Given the timing of the state's release of Growth Model data, the 2013-14 analysis is not yet available. This report contains 2012-13 results, the most recent Growth Model data available.⁸

Results

For 2012-13, SA Harlem 1 achieved a school-wide mean growth percentile of 54.84.

2012-13 English Language Arts Mean Growth Percentile by Grade Level

Grade	Mean Growth Percentile	
	School	Statewide Median
3	---	50.0
4	62.5	50.0
5	49	50.0
6	42.5	50.0
7	61.5	50.0
8	---	50.0
All	54.84*	50.0

*This number represents a weighted average of the grade-level mean growth percentiles for English language arts.

⁷ See Guidelines for [Creating a SUNY Accountability Plan](#) for an explanation.

⁸ Schools can acquire this data from the NYSED's Business Portal: portal.nysed.gov.

	(performing higher than expected to a small degree) according to a regression analysis controlling for economically disadvantaged students among all public schools in New York State. (Using 2012-13 school district results.)	
Growth	Each year, under the state’s Growth Model the school’s mean unadjusted growth percentile in English language arts for all tested students in grades 4-8 will be above the state’s unadjusted median growth percentile.	Achieved

Action Plan

In order to continue improving in English language arts, SA Harlem 1 will make the following improvements to its literacy program:

- More effectively use shared text to enhance student discussions around literature that are truly student-driven and less directed by the teacher.
- Provide students with more opportunities to respond to literature in writing.
- Promote genre variety in the classroom by giving students short excerpts of non-fiction, realistic fiction, folktales, interviews, plays, pamphlets, advertisements, etc.
- Help students identify the main idea of what they read in order to better understand author’s purpose and connect details to a cohesive narrative.
- Deepen class discussions around literature to transcend the literal and have students infer character traits, feelings and other aspects of literature not explicitly written.

MATHEMATICS

Goal 2: Mathematics
 Students will show competency in their understanding and application of mathematical computation and problem solving.

Background

SA Harlem 1 uses Cognitively Guided Instruction (CGI) and the Investigations math program. Some of its key elements are described below:

- Problem Solving – CGI offers students a chance to solve real world, contextualized mathematical problems using conceptual understanding. Students learn the basics of problem solving strategies by solving daily word problems that require critical thinking and both written and verbal expression of mathematical reasoning. Students work individually to solve a problem and then share their strategies with their peers. The teacher leads a discussion based on student strategies that leads to understanding of mathematical properties.
- Assessment – SA Harlem 1 administers Math Interim Assessments and weekly quizzes to determine the progress of students with respect to the Common Core standards. Teachers use the data to inform future instruction.

- Common Core State Standard Alignment – SA Harlem 1 has mapped the scope and sequence of CGI and the Investigations math program to closely align with the Common Core. This scope and sequence closely follows the state and national requirements of what students should know and be able to do at each administration of the state math assessments. By aligning closely with the Common Core and assessments, teachers will have a much better sense of where their students stand in SA Harlem 1’s goal of preparing all students for college-track level mathematics in middle and high school.
- Conceptual Understanding – Investigations math places an emphasis on open-ended exploration and interactive learning components to each lesson to let students make sense of mathematics by building on ideas and observations from previous experiences. By learning mathematical ideas and procedures that is grounded in meaning, students are able to apply their thinking to new situations and unfamiliar problems. CGI uses daily world problems to give students meaning, understanding, and application to the math they learn.
- Computational Fluency – SA Harlem 1 also provides students with regular math facts practice because it recognizes the importance of computational fluency. Math facts quizzes emphasize both accuracy and speed.

Goal 2: Absolute Measure

Each year, 75 percent of all tested students enrolled in at least their second year will perform at proficiency on the New York State mathematics examination for grades 3-8.

This measure assumes that the general format and structure of the State mathematics exam will remain consistent. To the extent that there are significant format and structure changes to the exam, the school understands that its authorizer will take such changes into account when assessing the school’s performance.

Method

The school administered the New York State Testing Program mathematics assessment to students in third through eighth grade in April 2014. Each student’s raw score has been converted to a grade-specific scaled score and a performance level.

The table below summarizes participation information for this year’s test administration. The table indicates total enrollment and total number of students tested. It also provides a detailed breakdown of those students excluded from the exam. Note that this table includes all students according to grade level, even if they have not enrolled in at least their second year.

**2013-14 State Mathematics Exam
Number of Students Tested and Not Tested**

Grade	Total Tested	Not Tested ¹⁰			Total Enrolled
		IEP	ELL	Absent	
3	108	0	0	0	108
4	135	0	0	0	135
5	105	0	0	0	105
6	81	0	0	0	81
7	50	0	0	0	50
8	32	0	0	0	32
All	511	0	0	0	511

Results

Based on scores from 2013-14, SA Harlem 1 exceeded the absolute measure goal for math.

**Performance on 2013-14 State Mathematics Exam
By All Students and Students Enrolled in At Least Their Second Year**

Grades	All Students		Enrolled in at least their Second Year	
	Percent	Number Tested	Percent	Number Tested
3	93.52%	108	93.46%	107
4	93.33%	135	93.33%	135
5	93.33%	105	93.33%	105
6	93.83%	81	93.83%	81
7	96.00%	50	96.00%	50
8	96.88%	32	96.88%	32
All	93.93%	511	93.92%	510

Evaluation

SA Harlem 1 met the absolute measure goal in 2013-14 for mathematics. All grades achieved high proficiency rates.

Additional Evidence

SA Harlem 1 exceeded this absolute measure goal for math by a wide margin with an overall proficiency rate of 93.92% (for students enrolled in at least their second year). As it continues to improve its math program, SA Harlem 1 expects to continue to perform well in the future.

¹⁰ Students exempted from this exam according to their Individualized Education Program (IEP), because of English Language Learners (ELL) status, or absence for at least some part of the exam.

Mathematics Performance by Grade Level and School Year

Grade	Percent of Students Enrolled in At Least Their Second Year Achieving Proficiency					
	2011-12		2012-13		2013-14	
	Percent	Number Tested	Percent	Number Tested	Percent	Number Tested
3	92%	119	76.5%	149	93.46%	107
4	97%	113	83.7%	117	93.33%	135
5	100%	49	75.0%	92	93.33%	105
6	100%	40	83.0%	47	93.83%	81
7			88.6%	35	96.00%	50
8					96.88%	32
All	96%	333	79.8%	440	93.92%	510

Goal 2: Absolute Measure

Each year, the school's aggregate Performance Level Index (PLI) on the State mathematics exam will meet the Annual Measurable Objective (AMO) set forth in the state's NCLB accountability system.

Method

The federal No Child Left Behind law holds schools accountable for making annual yearly progress towards enabling all students to be proficient. As a result, the state sets an AMO each year to determine if schools are making satisfactory progress toward the goal of proficiency in the state's learning standards in mathematics. To achieve this measure, all tested students must have a Performance Level Index (PLI) value that equals or exceeds the 2013-14 mathematics AMO of 86. The PLI is calculated by adding the sum of the percent of all tested students at Levels 2 through 4 with the sum of the percent of all tested students at Levels 3 and 4. Thus, the highest possible PLI is 200.¹¹

Results

SA Harlem 1 achieved a PLI score of 193, which is substantially greater than the target AMO of 86.

Mathematics 2013-14 Performance Level Index (PLI)

Number in Cohort	Percent of Students at Each Performance Level			
	Level 1	Level 2	Level 3	Level 4
511	1	5	29	65

$$\begin{array}{rclclclclcl}
 \text{PI} & = & 5 & + & 29 & + & 65 & = & 99 \\
 & & & & 29 & + & 65 & = & 94 \\
 & & & & & & \text{PLI} & = & 193
 \end{array}$$

¹¹ In contrast to NYSED's Performance Index, the PLI does not account for year-to-year growth toward proficiency.

Evaluation

SA Harlem 1 met this goal by achieving a PLI of 193, substantially exceeding the target AMO of 86.

Goal 2: Comparative Measure

Each year, the percent of all tested students who are enrolled in at least their second year and performing at proficiency on the state mathematics exam will be greater than that of all students in the same tested grades in the local school district.

Method

A school compares tested students enrolled in at least their second year to all tested students in the surrounding public school district. Comparisons are between the results for each grade in which the school had tested students in at least their second year at the school and the total result for all students at the corresponding grades in the school district.¹²

Results

SA Harlem achieved an overall proficiency rate of 93.92%, which was substantially greater than District 3's proficiency rate of 48%.

**2013-14 State Mathematics Exam
SA Harlem 1 and District Performance by Grade Level**

Grade	Percent of Students at Proficiency			
	SA Harlem 1 Students In At Least 2 nd Year		All District Students	
	Percent	Number Tested	Percent	Number Tested
3	93.46%	107	54%	1401
4	93.33%	135	61%	1430
5	93.33%	105	55%	1283
6	93.83%	81	47%	1361
7	96.00%	50	43%	1272
8	96.88%	32	16%	819
All	93.92%	510	48%	7566

Evaluation

SA Harlem 1 met this goal by achieving a proficiency rate of 93.92%. This exceeds the local district's pass rate by approximately 45 percentage points. SA Harlem 1 significantly outperformed the local district in all grade levels.

¹² Schools can acquire this data when the New York State Education Department releases its Access database containing grade level ELA and math test results for all schools and districts statewide. The NYSED announces the release of the data on its [News Release webpage](#).

Additional Evidence

SA Harlem 1 considerably outperformed District 3 in the 2011-12, 2012-13, and 2013-14 school years.

**Mathematics Performance of SA Harlem 1 and Local District
by Grade Level and School Year**

Grade	Percent of Students Enrolled in at Least their Second Year Who Are at Proficiency Compared to Local District Students					
	2011-12		2012-13		2013-14	
	SA Harlem 1	Local District	SA Harlem 1	Local District	SA Harlem 1	Local District
3	92%	66.9%	76.5%	52%	93.46%	54%
4	97%	73.6%	83.7%	52%	93.33%	61%
5	100%	67.5%	75.0%	40%	93.33%	55%
6	100%	68.9%	83.0%	39%	93.83%	47%
7			88.6%	37%	96.00%	43%
8					96.88%	16%
All	96%	69.4%	79.8%	44%	93.92%	48%

Goal 2: Comparative Measure

Each year, the school will exceed its predicted level of performance on the state mathematics exam by an Effect Size of 0.3 or above (performing higher than expected to a small degree) according to a regression analysis controlling for students eligible for economically disadvantaged students among all public schools in New York State.¹³

Method

The Charter Schools Institute conducts a Comparative Performance Analysis, which compares the school’s performance to demographically similar public schools state-wide. The Institute uses a regression analysis to control for the percentage of economically disadvantaged students among all public schools in New York State. The Institute compares the school’s actual performance to the predicted performance of public schools with a similar economically disadvantaged percentage. The difference between the schools’ actual and predicted performance, relative to other schools with similar economically disadvantaged statistics, produces an Effect Size. An Effect Size of 0.3 or performing higher than expected to a small degree is the requirement for achieving this measure.

Given the timing of the state’s release of economically disadvantaged data and the demands of the data analysis, the 2013-14 analysis is not yet available. This report contains 2012-13 results, the most recent Comparative Performance Analysis available.

¹³ The Institute will continue using **economically disadvantaged** instead of **eligibility for free lunch** as the demographic variable in 2013-14. Schools should report previous year’s results using reported free-lunch statistics.

Results

For the 2012-13 academic year, SA Harlem 1 demonstrated an effect size of 3.24, which is substantially higher than the target value of 0.3.

2012-13 Mathematics Comparative Performance by Grade Level

Grade	Percent of Economically Disadvantaged Students	Number of Students Tested	Percent of Students at Proficiency		Difference between Actual and Predicted	Effect Size
			Actual	Predicted		
3	80.5	153	75.1	25.0	50.1	2.85
4	76.4	117	83.7	27.7	56.0	3.27
5	82.5	92	75.0	20.4	54.6	3.42
6	84.8	47	83.0	17.9	65.1	3.62
7	73.0	35	88.6	18.5	70.1	3.92
8						
All	79.7	444	79.2	23.5	55.7	3.24

School's Overall Comparative Performance:
Higher than expected to a large degree

Evaluation

SA Harlem 1 met this goal with an effect size of 3.24. This is significantly higher than the target value of 0.3.

Additional Evidence

In every academic year for which data has been provided, SA Harlem 1's effect size has been rated as "higher than expected to a large degree." SA Harlem 1 believes that it will demonstrate consistently high effect sizes in the years to come.

Mathematics Comparative Performance by School Year

School Year	Grades	Percent Eligible for Free Lunch	Number Tested	Actual	Predicted	Effect Size
2010-11	Data is not available for this year					
2011-12	3-6	64.9	333	96.4	57.1	2.20
2012-13	3-7	79.7	444	79.2	55.7	3.24

Goal 2: Growth Measure¹⁴

Each year, under the state’s Growth Model, the school’s mean unadjusted growth percentile in mathematics for all tested students in grades 4-8 will be above the state’s unadjusted median growth percentile.

Method

This measure examines the change in performance of the same group of students from one year to the next and the progress they are making in comparison to other students with the same score in the previous year. The analysis only includes students who took the state exam in 2012-13 and also have a state exam score in 2011-12 including students who were retained in the same grade. Students with the same 2011-12 scores are ranked by their 2012-13 scores and assigned a percentile based on their relative growth in performance (mean growth percentile). Students’ growth percentiles are aggregated school-wide to yield a school’s mean growth percentile. In order for a school to perform above the statewide median, it must have a mean growth percentile greater than 50.

Given the timing of the state’s release of Growth Model data, the 2013-14 analysis is not yet available. This report contains 2012-13 results, the most recent Growth Model data available.¹⁵

Results

For 2012-13, SA Harlem 1 achieved a school-wide mean growth percentile of 65.9.

2012-13 Mathematics Mean Growth Percentile by Grade Level

Grade	Mean Growth Percentile	
	School	Statewide Average
3	---	50.0
4	64.0	50.0
5	67.0	50.0
6	64.0	50.0
7	72.0	50.0
8	---	50.0
All	65.9*	50.0

*This number represents a weighted average of all grade-levels’ mean growth percentile for mathematics.

Evaluation

SA Harlem 1 met this goal by exhibiting a mean growth percentile of 65.9. This exceeds the statewide average of 50.0.

¹⁴ See Guidelines for [Creating a SUNY Accountability Plan](#) for an explanation.

¹⁵ Schools can acquire this data from the NYSED’s business portal: portal.nysed.gov.

Additional Evidence

Growth model data dating back further than the 2012-13 school year is not available for SA Harlem 1.

Mathematics Mean Growth Percentile by Grade Level and School Year

Grade	Mean Growth Percentile			
	2010-11 ¹⁶	2011-12 ¹⁴	2012-13	Statewide Average
3			---	50.0
4			64.0	50.0
5			67.0	50.0
6			64.0	50.0
7			72.0	50.0
8			---	50.0
All			65.9	50.0

Summary of the Mathematics Goal

Type	Measure	Outcome
Absolute	Each year, 75 percent of all tested students who are enrolled in at least their second year will perform at proficiency on the New York State mathematics exam for grades 3-8. This measure assumes that the general format and structure of the State math exam will remain consistent. To the extent that there are significant format and structure changes to the exam, the school understands that its authorizer will take such changes into account when assessing the school's performance.	Achieved
Absolute	Each year, the school's aggregate Performance Level Index (PLI) on the state mathematics exam will meet that year's Annual Measurable Objective (AMO) set forth in the state's NCLB accountability system.	Achieved
Comparative	Each year, the percent of all tested students who are enrolled in at least their second year and performing at proficiency on the state mathematics exam will be greater than that of students in the same tested grades in the local school district.	Achieved
Comparative	Each year, the school will exceed its predicted level of performance on the state mathematics exam by an Effect Size of 0.3 or above (performing higher than expected to a small degree) according to a regression analysis controlling for economically disadvantaged students among all public schools in New York State. (Using 2012-13 school district results.)	Achieved
Growth	Each year, under the state's Growth Model the school's mean unadjusted growth percentile in mathematics for all tested students in grades 4-8 will be above the state's unadjusted median growth percentile.	Achieved

¹⁶ Grade level results not available.

Action Plan

Despite impressive state math test results, SA Harlem 1 is looking to make the following improvements to the math program:

- More effectively guide students to move away from invented strategies for solving problems, which can sometimes be laborious, towards more efficient strategies that improve accuracy
- Improve the pacing calendar for math instruction so that teachers have time to teach oft-overlooked skills like fractions

SCIENCE

Goal 3: Science

Students will understand and apply scientific principles at a proficient level.

Background

The school's curriculum is unique in its attention to science, including unprecedented daily instruction. The school uses a discovery-based, experiential approach to science, guided by the most influential authorities on elementary science education today, the American Association for the Advancement of Science Benchmarks and the National Resource Council National Science Education Standards. Taught by specialized science teachers, students have hands-on experience with objects, materials, and organisms to understand the natural world. The curriculum provides students with a solid foundation in discovery-based science to ensure that they can excel in middle and high school science classes.

Goal 3: Absolute Measure

Each year, 75 percent of all tested students enrolled in at least their second year will perform at proficiency on the New York State science examination.

This measure assumes that the general format and structure of the State science exam will remain consistent. To the extent that there are significant format and structure changes to the exam, the school understands that its authorizer will take such changes into account when assessing the school's performance.

Method

The school administered the New York State Testing Program science assessment to students in 4th and 8th grade in spring 2014. The school converted each student's raw score to a performance level and a grade-specific scaled score. The criterion for success on this measure requires students enrolled in at least their second year (defined as enrolled by BEDS day of the previous school year) to score at proficiency.

Results

In its first year administering the New York State Testing Program Science Assessment to Grades 4 and 8, SA Harlem 1 achieved an overall proficiency rate of 100%. Proficiency rates for Grade 4 and Grade 8 were 100%.

SA Harlem 1 Performance on 2013-14 State Science Exam By All Students and Students Enrolled in At Least Their Second Year

Grade	Percent of Students at Proficiency			
	SA Harlem 1 Students In At Least 2 nd Year		All District Students	
	Percent	Number Tested	Percent	Number Tested
4	100%	135	---	---
8	100%	32	---	---

Evaluation

SA Harlem 1 met this goal by achieving a proficiency rate above 75%. Overall, the school demonstrated extremely high performance: of the 176 students tested, only 3 did not score at the highest possible proficiency level (Level 4).

Additional Evidence

One-hundred percent of SA Harlem 1 students passed the New York State science test in 2011-12, 2012-13, and 2013-14.

Science Performance by Grade Level and School Year

Grade	Percent of Students Enrolled in At Least Their Second Year at Proficiency					
	2011-12		2012-13		2013-14	
	Percent	Number Tested	Percent	Number Tested	Percent	Number Tested
4	100%	113	100%	115	100%	135
8					100%	32
All	100%	113	100%	115	100%	167

Goal 3: Comparative Measure

Each year, the percent of all tested students enrolled in at least their second year and performing at proficiency on the state science exam will be greater than that of all students in the same tested grades in the local school district.

Method

The school compares tested students enrolled in at least their second year to all tested students in the surrounding public school district. Comparisons are between the results for each grade in which the school had tested students in at least their second year and the results for the respective grades in the local school district.

Results

SA Harlem 1 demonstrated an overall proficiency rate of 100%. Proficiency rates for District 3’s 2013-14 New York State Testing Program Science Exam will not be available until spring 2015.

**2013-14 State Science Exam
SA Harlem 1 and District Performance by Grade Level**

Grade	Percent of Students at Proficiency			
	SA Harlem 1 Students In At Least 2 nd Year		All District Students	
	Percent	Number Tested	Percent	Number Tested
4	100%	135	---	---
8	100%	32	---	---

Evaluation

Not yet available.

Additional Evidence

Because District 3 science testing data is not yet publicly available, SA Harlem 1 cannot compare its performance with that of its local school district. In 2011-12 and 2012-13, SA Harlem 1 outperformed District 3.

**Science Performance of SA Harlem 1 and Local District
by Grade Level and School Year**

Grade	Percent of SA Harlem 1 Students at Proficiency and Enrolled in At Least their Second Year Compared to Local District Students					
	2011-12		2012-13		2013-14	
	SA Harlem 1	Local District	SA Harlem 1	Local District	SA Harlem 1	Local District
4	100%	89%	100%	93%	100%	---
8					100%	---
All	100%	89%	100%	93%	100%	---

Summary of the Science Goal

Type	Measure	Outcome
Absolute	<p>Each year, 75 percent of all tested students enrolled in at least their second year will perform at proficiency on the New York State examination.</p> <p>This measure assumes that the general format and structure of the State science exam will remain consistent. To the extent that there are significant format and structure changes to the exam, the school understands that its authorizer will take such changes into account when assessing the school’s performance.</p>	Achieved
Comparative	<p>Each year, the percent of all tested students enrolled in at least their second year and performing at proficiency on the state exam will be greater than that of all students in the same tested grades in the local school district.</p>	N/A

Action Plan

SA Harlem 1 will continue offering discovery-based science to all students five days a week. Results from state science tests show that SA Harlem 1’s focus on science is paying considerable dividends.

NCLB

Goal 4: NCLB
The school will make Adequate Yearly Progress.

Goal 4: Absolute Measure
Under the state’s NCLB accountability system, the school’s Accountability Status is in good standing: the state has not identified the school as a Focus School nor determined that it has met the criteria to be identified as a local-assistance-plan school.

Method

Since *all* students are expected to meet the state's learning standards, the federal No Child Left Behind legislation stipulates that various sub-populations and demographic categories of students among all tested students must meet state proficiency standards. New York, like all states, established a system for making these determinations for its public schools. Each year the state issues School Report Cards. The report cards indicate each school’s status under the state’s No Child Left Behind (NCLB) accountability system.

Results

SA Harlem 1 achieved a status of “Good Standing” for 2013-14.

Evaluation

SA Harlem 1 achieved its goal by achieving a status of “Good Standing” for the 2013-14 academic year.

Additional Evidence

SA Harlem 1 has maintained its status of “Good Standing” and expects to maintain this status in the future.

NCLB Status by Year

Year	Status
2011-12	Good Standing
2012-13	Good Standing
2013-14	Good Standing

Appendix E.

**d) - f). Physical Locations of Schools
and addressing documentation
request in E. and F.**

APPENDIX E

Current Schools			
School (by charter)	Grade Levels	BEDS Code	Current Location
Success Academy Charter School – Harlem 1	K-9	310300860897	<p><u>Grades K-4</u> Principal - Danique Day Loving 34 West 118th Street, 2nd Fl. New York, NY 10026</p> <p><u>Grades 5-7 (SA Harlem West)</u> Principal - Andrea Klein 215 West 114th Street, 5th Fl. New York, NY 10026</p> <p><u>Grades 8-9 (SA High School of the Liberal Arts)</u> Principal - Marc Meyer 111 East 33rd Street, 4th Fl. New York, NY 10016</p>
Success Academy Charter School – Harlem 2	K-7	310500860921	<p><u>Grades K-4</u> Principal - Kaitlenn McDermott/Lavinia Mackall 144 East 128th Street, 3rd Fl. New York, NY 10035</p> <p><u>Grade 5-6 (SA Harlem North West)</u> Principal - Lauren Jonas 509 West 129th Street, 3rd Fl. New York, NY 10027</p> <p><u>Grade 7 (SA Harlem East)</u> Principal - David Noah 141 East 111th Street. 3rd Fl. New York, NY 10029</p>
Success Academy Charter School – Harlem 3	K-7	310400860922	<p><u>Grades K-1</u> Principal - Tara Stant 410 East 100th Street New York, NY 10029</p> <p><u>Grades 2-7 (including Harlem East)</u> Principal - Tara Stant/David Noah 141 East 111th Street, 3rd & 4th Fls. New York, NY 10029</p>

Success Academy Charter School – Harlem 4	K-7	310300860923	<u>Grades K-4</u> Principal - Will Losekoch 240 West 113th Street, 3 rd Fl. New York, NY 10026 <u>Grade 5-7 (Harlem Central)</u> Principal - Andrew Malone 461 West 131 st Street New York, NY 10027
Success Academy Charter School – Harlem 5	K-5	310500860979	<u>Grades K-3</u> Principal - Khari Shabazz 301 West 140th Street, 3 rd Fl. New York, NY 10030 <u>Grades 4-5 (Harlem North Central)</u> Principal - Lisa Sun 175 West 134 th Street, 3 rd Fl. New York, NY 10030
Success Academy Charter School – Bronx 1	K-5	320700860981	Principal - Elizabeth Vandlik 339 Morris Avenue, 2 nd Fl. Bronx, NY 10451
Success Academy Charter School – Bronx 2	K-5	320900860980	<u>Grades K-4</u> Principal - Vanessa Bangser 450 St. Paul's Place, 5 th Fl. Bronx, NY 10456 <u>Grade 5 (Middle School Bronx 2)</u> Principal - Laura Drechsel 270 East 167 th Street Bronx, NY 10456
Success Academy Charter School – Upper West	K-4	310300861008	Principal - Jennifer Haynes 145 West 84th Street, 2nd Fl. New York, NY 10024
Success Academy Charter School – Bed-Stuy 1	K-4	331400861007	Principal - Javeria Khan 70 Tompkins Avenue, 2nd Fl. Brooklyn, NY 11206

Success Academy Charter School – Bed-Stuy 2	K-3	331400861022	Principal - Beth Davis-Dillard 211 Throop Avenue, 3rd Fl. Brooklyn, NY 11206
Success Academy Charter School – Cobble Hill	K-3	331500861023	Principal - Kerri Tabarcea 284 Baltic Street, Lower Level Brooklyn, NY 11201
Success Academy Charter School – Williamsburg	K-3	331400861024	Principal - Abigail Johnson 183 South 3rd Street, 4 th Fl. Brooklyn, NY 11211
Success Academy Charter School – Hell's Kitchen	K-2	310200861043	Principal - Ali Rubin 439 West 49th Street, 2nd Fl. New York, NY 10019
Success Academy Charter School – Crown Heights	K-2	331700861041	Principal - Kristen Cipriano 330 Crown Street, 5th Fl. Brooklyn, NY 11225
Success Academy Charter School – Fort Greene	K-2	331300861039	Principal - Candido Brown 101 Park Avenue, 3rd Fl. Brooklyn, NY 11205
Success Academy Charter School – Union Square	K-2	310200861042	Principal - Paola Zalkind 40 Irving Place, 2nd Fl. New York, NY 10003
Success Academy Charter School – Prospect Heights	K-2	331799861040	Principal - Monica Komery 760 Prospect Place, 4th Fl. Brooklyn, NY 11216
Success Academy Charter School – Bronx 3	K-2	320800861044	Principal - Colleen Stewart 968 Cauldwell Avenue, 3rd Fl. Bronx, NY 10456

Success Academy Charter School – Washington Heights	K-1	310200861073	Principal - Kelsey DePalo 701 Fort Washington Avenue New York, NY 10040
Success Academy Charter School – Bergen Beach	K-1	332200861076	Principal - Jessica Johnson 1420 East 68th Street, 3rd Fl. Brooklyn, NY 11234
Success Academy Charter School – Bensonhurst	K-1	332100861075	Principal - Jonathan Dant 99 Avenue P, 4 th Fl. Brooklyn, NY 11204
Success Academy Charter School – Bronx 4	K-1	320800861074	Principal - Shea Reeder 885 Bolton Avenue, 3rd Fl. Bronx, NY 10473
Success Academy Charter School – Rosedale	K-1	342700861077	Principal - Christina Danielsen 147-65 249th Street Queens, NY 11422
Success Academy Charter School – Springfield Gardens	K-1	342900861078	Principal - Michelle Cooper 132-55 Ridgedale Street, 3rd Fl. Queens, NY 11413

All Success schools above are authorized by SUNY.

BEDS Codes are unique school identification numbers issued by New York State.

See attached for the Third Amended and Restated Second Charter Agreement.

See attached for the most recent Accountability Plan Progress Reports for the above schools.

Each school has its own student body and staff. See attached for our admissions policy, which describes the lottery process by which student bodies for each school are selected. Please see the chart above for principals at each school.

Admissions Policy

The schools operated by SA-NYC shall not discriminate against any student based on race, ethnicity, national origin, gender, disability, sexual orientation, or on any other basis that would be unlawful for a public school. The schools shall be open to any child who is eligible under the laws of New York State for admission to a public school, and the schools shall ensure compliance with all applicable anti-discrimination laws governing public schools, including Title VI of the Civil Rights Act and §2854(2) of the New York Education Law, governing admission to a charter school. New students will be admitted each year without regard to prior measures of achievement or aptitude, athletic ability, disability, ethnicity, race, creed, gender, national origin, religion, ancestry, sexual orientation, or any other ground that would be unlawful.

Formal recruitment of new potential students will begin in or around October to January of each year, at which point interested families may begin submitting applications. Each school will advertise information sessions where families can learn about such school's programs and expectations. The application will be available at the information sessions, at all Success Academy Charter Schools (“Success Academies”), and online. It will be a simple form requesting basic biographical and contact information and will conform to the New York State Education Department’s New York State Charter School Uniform Application Form. The form will be available in the language or languages predominantly spoken in the community in which each school is located, as determined by each school. There will be no fees associated with submitting the application, and staff members will be available to assist applicants who need help filling it out.

The targeted student populations are low-income and/or mixed-income students residing within the Community School District (“CSD”) of location of each school, including English Language Learners (“ELLs”) and students with special education needs. Each school intends to serve these student populations with a view to educating all students at a very high level, irrespective of socioeconomic, racial, ethnic, and/or other status and irrespective of whether students have special education needs.

Broad recruitment efforts will be designed to reach all parents in the community. Each school will make an effort to attract special education students as well as students without special education needs by directing advertising and other recruitment efforts at a broad range of neighborhoods, pre-school programs, and community centers that serve both special education and non-special education students. In addition, each school will target its recruitment efforts to attract ELLs in order to meet the school’s goal of reaching and serving the ELL population in its community. In these recruitment efforts, each school shall not discriminate against any student based on race, ethnicity, national origin, gender, disability, sexual orientation, or on any other basis that would be unlawful for a public school.

Numerous recruitment activities will be undertaken by each school. Some of the activities that will promote the school and recruit applicants will include:

- Mailings and distributions to residents of the CSD of location of the charter school (“in-district residents”), including residents in low-income and mixed-income in-district communities;

- Advertisements, flyers, and/or marketing materials posted in local newspapers, supermarkets, community centers, and/or apartment complexes;

- Targeted distribution of foreign-language materials, including mailings, advertisements, and/or flyers to foreign-language-speaking individuals and communities within the CSD, as determined by each school;

- Tours of existing Success Academy schools; and/or

- Information sessions hosted at public and private venues frequented by families of young children, including daycare and nursery schools.

All applications must be received by a deadline that will be no earlier than April 1 and will likely be prior to April 15. If the number of applicants exceeds such school's capacity, a random selection lottery process will be conducted on, before, or around April 15. After the lottery is conducted, the school continues to accept applications for the waitlist. Returning students have admissions priority. Lottery preferences will be provided for:

- Siblings of current or accepted students and

- Applicants who reside in-district.

Any remaining seats will be randomly distributed to the remainder of eligible applicants statewide who reside outside the CSD where the school is located (“out-of-district”).

If it comes to Success Academies’ attention that an applicant is seeking a preference for which he or she may not be eligible, Success Academies may request additional documentation in order to determine eligibility.

The lottery will be open to the public and noticed in accordance with the New York Open Meetings Law. There will be an impartial person conducting the selection of lottery applicants or acting as an observer at the lottery of the selection of lottery applicants.

Success Academies will use a digital lottery program. Each school operated by SA-NYC will have a separate lottery. For each school, the lottery program will first prioritize acceptance of siblings of current students. The program will then assign seats to, first, in-district applicants on a random basis and, second, if seats remain, out-of-district applicants on a random basis. Any remaining applicants will be placed on a wait list in the order of their randomly assigned number (prioritizing, first, in-district applicants and, second, out-of-district applicants). Note that the program will also prioritize siblings of accepted students. Late applicants will be eligible for the CSD preference.

The parent(s)/guardian(s) of each applicant will be notified via letter sent by U.S. mail of the lottery results. Because many applicants apply to more than one school in Success Academies’ network of schools, applicants may rank their schools in their order

of preference, both when they apply and after they receive their lottery results. In the event that an applicant is accepted to multiple schools, it will be assumed that the applicant prefers to attend the school ranked highest on the application. The applicant's seat(s) at other schools, if any, will be offered to the next eligible individual(s) on the wait list. Not incorporating the foregoing into our lottery process could result in a small pool of applicants taking up all of the available seats across our schools. However, the lottery results letter sent to applicants will list all schools they were accepted to, and applicants will be informed that they have the opportunity to select any school choice option they were accepted to that best meets their individual needs.

Reasonable and multiple attempts will be made to contact the families of accepted applicants to confirm whether an applicant is interested in attending the school. If these reasonable and multiple attempts are unsuccessful, the school may remove the applicant from the accepted list and make the space available to the next eligible applicant on the wait list.

Following the lottery, the wait list will remain active until the last day of school of the full academic year after the lottery took place, at which point, the wait list will expire.

Families of accepted applicants will have multiple opportunities to register at various meetings starting in or around May following the lottery. Families intending to register their children must present required New York state documentation in order to register their children at the school, allowing for any exceptions for homeless or undocumented youth, as set forth in the McKinney-Vento Homeless Assistance Act of 1987, as amended. All families of accepted applicants must complete all of the school's enrollment forms, including, but not limited to, any required physical examination and/or immunization forms, by the date required on the forms or accompanying explanatory paperwork, to secure enrollment. Reasonable and multiple efforts will be made by the school to ensure that all enrollment forms are completed in a timely fashion. The failure by the accepted applicant's family to complete all enrollment forms in a timely fashion and/or complete the enrollment process may result in the student's loss of his or her space at the school, and that space will be made available to the next eligible applicant on the waitlist.

In order to maintain school culture, each school will admit new students into kindergarten through third grade each year through its lottery process, as space permits. Additionally, each school may admit new students in fourth and/or fifth grades through its lottery process, depending on space availability and other factors. Students will be admitted to kindergarten and first grade beginning in year 1. Students will be admitted to second grade beginning in year 2 and to third grade beginning in year 3. Students may be admitted to fourth grade and/or fifth grade in year 4 and year 5, respectively. Once the waitlist expires, no vacancies, if any, will be back-filled. New students may be given a placement test and placed in the grade at the appropriate academic level, as determined by each school.

Students attending any school operated by SA-NYC may be transferred to another school operated by SA-NYC for the purpose of special education programming and on a case-by-case basis when SA-NYC deems a transfer appropriate under the circumstances. For example, if a school operated by SA-NYC offers a 12:1:1 setting, and a scholar has a 12:1:1 class size need on his/her Individualized Educational Program (“IEP”), the school, in coordination with the IEP team and depending on space availability and appropriateness of the setting, may transfer that scholar to another SA-NYC school that offers an appropriate 12:1:1 class setting. Prior to any such transfer of scholars based on special education considerations, the school sending the scholar to the new SA-NYC school will notify the relevant Committee on Special Education in writing. Another example where a school may, at its discretion, deem that a transfer is appropriate is if a scholar moves to a location that is closer to another SA-NYC school and the transfer will prevent a hardship for the scholar. In all cases, transfers are not guaranteed, and are subject to space availability and other constraints, as determined by the sending and receiving schools. A potential transfer will be considered by the principals of both the sending and receiving schools. The principals will consider each transfer on a case-by-case basis and, in addition to the above considerations, will consider the best interests of the student and the receiving school’s ability to address the student’s specific needs. The principals will consult with Success Academy as necessary to consider the potential transfer. Transfers will occur when the principals of the sending and receiving schools agree to the transfer, and transfer determinations are in the sole, unreviewable discretion of the principals.

Notwithstanding the foregoing, during any year in which a school receives Charter School Program grant funding, if applicable, transfer to such school during such time will be limited to special education programs and to certain extraordinary circumstances, as determined by the sending and receiving schools. An example of an extraordinary circumstance may be a domestic violence situation where transfer is necessary for protection of the student. Each transferred student will remain a part of the charter school from which such student was transferred for performance reporting purposes if, and until such time as is no longer, required by such charter school’s chartering entity.

Charter schools are public schools of choice, both for application and withdrawal. There may arise circumstances in which a parent or guardian may wish to transfer his or her child to a different school. Such parent or guardian may withdraw his or her child at any time. School personnel will offer to meet with the family, discuss the reasons for the desired withdrawal from the school, and/or seek resolutions to any problems needing to be addressed. If the parent or guardian still wishes to withdraw the child, school staff will ensure a timely transfer of any necessary school records to the student's new school.

Each year, school personnel will meet with the families of all parents and guardians of currently enrolled students to discuss enrollment plans for the following school year. Parents or guardians must then submit to the school a letter of intent confirming their desire to enroll their child(ren) in the school for the following year.

School Name	2010-2011 MATH				2011-2012 MATH				2012-2013 MATH				2013-2014 Math			
	Grade	% at or above proficient			Grade	% at or above proficient			Grade	% at or above proficient			Grade	% at or above proficient		
		SA	District	New York State		SA	District	New York State		SA	District	New York State		SA	District	New York State
SA Harlem 1, opened 2006	3	98%	64%	59%	3	93%	67%	61%	3	76%	52%	34%	3	91%	53%	42%
	4	100%	69%	67%	4	97%	74%	69%	4	84%	52%	36%	4	92%	60%	42%
	5	98%	65%	66%	5	100%	68%	66%	x	x	x	x	x	x	x	x
	x	x	x	x	6	100%	69%	55%	x	x	x	x	x	x	x	x
	Total	99%	66%	64%	Total	98%	69%	63%	Total	80%	52%	35%	Total	92%	57%	42%
SA Harlem 2, opened 2008	3	87%	35%	59%	3	95%	37%	61%	3	80%	16%	34%	3	85%	17%	42%
	x	x	x	x	4	100%	40%	69%	4	74%	15%	36%	4	91%	18%	42%
	Total	87%	35%	59%	Total	97%	38%	65%	Total	77%	16%	35%	Total	88%	18%	42%
SA Harlem 3, opened 2008	3	92%	48%	59%	3	93%	56%	61%	3	80%	25%	34%	3	97%	37%	42%
	x	x	x	x	4	99%	63%	69%	4	89%	28%	36%	4	91%	26%	42%
	Total	92%	100%	59%	Total	96%	60%	65%	Total	84%	27%	35%	Total	94%	31%	42%
SA Harlem 4, opened 2008	3	92%	64%	59%	3	98%	67%	61%	3	80%	52%	34%	3	89%	53%	42%
	x	x	x	x	4	98%	74%	69%	4	79%	52%	36%	4	96%	60%	42%
	x	x	x	x	x	x	x	x	5	96%	40%	30%	5	x		x
	Total	92%	64%	59%	Total	98%	70%	65%	Total	83%	48%	33%	Total	92%	57%	42%
SA Harlem 5, opened 2010	x	x	x	x	x	x	x	x	3	88%	16%	34%	3	97%	17%	42%
	Total	88%	16%	34%	Total	97%	17%	42%								
SA Bronx 2, opened 2010	x	x	x	x	x	x	x	x	3	97%	14%	34%	3	99%	19%	42%
	x	x	x	x	x	x	x	x	x	x	x	x	4	99%	17%	42%
	Total	97%	14%	34%	Total	99%	18%	42%								
SA Bronx 1, opened 2010	x	x	x	x	x	x	x	x	3	90%	12%	34%	3	88%	16%	42%
	x	x	x	x	x	x	x	x	x	x	x	x	4	97%	16%	42%
	Total	90%	12%	34%	Total	93%	16%	42%								
SA BedStuy 1, opened 2011	x	x	x	x	x	x	x	x	x	x	x	x	3	98%	39%	42%
	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
	Total	98%	39%	42%												
SA Upper West, opened 2011	x	x	x	x	x	x	x	x	x	x	x	x	3	100%	53%	42%
	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
	Total	100%	53%	42%												
SA Harlem West, opened 2012	x	x	x	x	x	x	x	x	5	75%	40%	30%	5	93%	54%	39%
	x	x	x	x	x	x	x	x	6	83%	39%	30%	6	94%	46%	37%
	x	x	x	x	x	x	x	x	7	89%	37%	27%	7	96%	43%	31%
	x	x	x	x	x	x	x	x	x	x	x	x	8	97%	16%	22%
Total	80%	39%	29%	Total	94%	42%	32%									

SA Harlem Central, opened 2012	x	x	x	x	x	x	x	x	5	75%	40%	30%	5	93%	14%	39%
	x	x	x	x	x	x	x	x	x	x	x	x	6	100%	19%	37%
	x	Total	75%	40%	30%	Total	96%	17%	38%							
SA Harlem East, opened 2013	x	x	x	x	x	x	x	x	x	x	x	x	5	95%	32%	39%
	x	x	x	x	x	x	x	x	x	x	x	x	6	95%	22%	37%
	x	x	x	x	Total	95%	27%	38%								
SA Harlem North Central, opened 2013	x	x	x	x	x	x	x	x	x	x	x	x	4	95%	18%	42%
	x	x	x	x	x	x	x	x	x	x	x	x	5	96%	14%	39%
	x	x	x	x	Total	95%	16%	41%								

School Name	2010-2011 ELA				2011-2012 ELA				2012-2013 ELA				2013-2014 ELA			
	Grade	% at or above proficient			Grade	% at or above proficient			Grade	% at or above proficient			Grade	% at or above proficient		
		SA	District	New York State		SA	District	New York State		SA	District	New York State		SA	District	New York State
SA Harlem 1, opened 2006	3	82%	61%	56%	3	89%	62%	56%	3	56%	49%	31%	3	48%	45%	32%
	4	93%	59%	56%	4	91%	65%	60%	4	55%	45%	30%	4	57%	54%	33%
	5	91%	57%	53%	5	94%	59%	58%	x	x	x	x	x	x	x	x
	x	x	x	x	6	95%	59%	66%	x	x	x	x	x	x	x	x
Total	88%	59%	55%	Total	92%	61%	60%	Total	56%	47%	31%	Total	53%	50%	33%	
SA Harlem 2, opened 2008	3	76%	29%	56%	3	76%	30%	56%	3	61%	13%	31%	3	55%	14%	32%
	x	x	x	x	4	94%	29%	60%	4	53%	12%	30%	4	66%	16%	33%
	Total	76%	29%	56%	Total	85%	30%	58%	Total	57%	13%	31%	Total	61%	15%	33%
SA Harlem 3, opened 2008	3	71%	41%	56%	3	86%	49%	56%	3	51%	21%	31%	3	72%	29%	32%
	x	x	x	x	4	95%	46%	60%	4	57%	26%	30%	4	70%	21%	33%
	Total	71%	41%	56%	Total	91%	47%	58%	Total	54%	24%	31%	Total	71%	25%	33%
SA Harlem 4, opened 2008	3	82%	61%	56%	3	88%	62%	56%	3	59%	49%	31%	3	54%	45%	32%
	x	x	x	x	4	89%	65%	60%	4	53%	45%	30%	4	59%	54%	33%
	x	x	x	x	x	x	x	x	5	53%	41%	31%	x	x	x	x
	Total	82%	61%	56%	Total	89%	64%	58%	Total	55%	45%	31%	Total	56%	50%	33%
SA Harlem 5, opened 2010	x	x	x	x	x	x	x	x	3	64%	13%	31%	3	64%	14%	32%
	Total	64%	13%	31%	Total	64%	13%	31%	Total	64%	13%	31%	Total	64%	14%	32%
SA Bronx 2, opened 2010	x	x	x	x	x	x	x	x	3	77%	12%	31%	3	66%	13%	32%
	x	x	x	x	x	x	x	x	x	x	x	x	4	74%	14%	33%
	Total	77%	12%	31%	Total	77%	12%	31%	Total	69%	14%	33%				
SA Bronx 1, opened 2010	x	x	x	x	x	x	x	x	3	67%	10%	31%	3	50%	9%	32%
	x	x	x	x	x	x	x	x	x	x	x	x	4	70%	11%	33%
	Total	67%	10%	31%	Total	67%	10%	31%	Total	60%	10%	33%				
SA BedStuy 1, opened 2011	x	x	x	x	x	x	x	x	x	x	x	x	3	81%	33%	32%
	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
	Total	81%	33%	32%												
SA Upper West, opened 2011	x	x	x	x	x	x	x	x	x	x	x	x	3	84%	45%	32%
	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
	Total	84%	45%	32%												
SA Harlem West, opened 2012	x	x	x	x	x	x	x	x	5	50%	41%	31%	5	57%	47%	29%
	x	x	x	x	x	x	x	x	6	49%	35%	30%	6	65%	41%	28%
	x	x	x	x	x	x	x	x	7	86%	40%	31%	7	65%	42%	29%
	x	x	x	x	x	x	x	x	8	94%	41%	34%				
	Total	57%	39%	31%	Total	65%	43%	30%								

SA Harlem Central, opened 2012	x	x	x	x	x	x	x	x	5	59%	41%	31%	5	49%	13%	29%
	x	x	x	x	x	x	x	x	x	x	x	x	6	82%	16%	28%
	x	Total	59.0%	41.3%	31%	Total	63%	14%	29%							
SA Harlem East, opened 2013	x	x	x	x	x	x	x	x	x	x	x	x	5	71%	23%	29%
	x	x	x	x	x	x	x	x	x	x	x	x	6	59%	18%	28%
	x	x	x	x	Total	65%	21%	29%								
SA Harlem North Central, opened 2013	x	x	x	x	x	x	x	x	x	x	x	x	4	73%	16%	33%
	x	x	x	x	x	x	x	x	x	x	x	x	5	67%	13%	29%
	x	x	x	x	Total	69%	15%	31%								

NEW YORK STATE TEST PASS RATES BY SUB GROUP

Subgroup	2011 Pass Rate		2012 Pass Rate		2013 Pass Rate*		2014 Pass Rate	
	ELA	Math	ELA	Math	ELA	Math	ELA	Math
African-American	81%	95%	89%	98%	57%	80%	63%	93%
Hispanic	85%	96%	89%	98%	61%	88%	67%	95%
Has IEP	48%	83%	73%	91%	25%	55%	37%	83%
English Language Learners	88%	100%	85%	95%	45%	73%	42%	91%
Free/Reduced Price Lunch	80%	94%	88%	97%	57%	81%	62%	93%
All Scholars	82%	95%	89%	97%	58%	82%	64%	94%

*The decrease in pass rates from 2012 to 2013 is a result of New York State's implementation of Common Core State Standards. The newer, more rigorous instructional standards caused widespread pass rate reductions across the state. By pass rate, Success Academy ranked in the top 1% in the state in mathematics and in the top 7% in the state in ELA on the 2013 New York state tests.

Success Academy Projected Uses and Sources of Funds
5 year Growth Plan
\$ in Millions

\$ Millions	2015-2016	2016-2017	2017-2018	2018-2019	2019-2020
Public Revenues*	\$176.5	\$224.4	\$275.4	\$326.1	\$378.3
TOTAL SOURCES	\$176.5	\$224.4	\$275.4	\$326.1	\$378.3
Personnel	████	████	████	████	████
Facilities	0.8	1.0	1.1	1.3	1.5
Instructional Materials	9.6	12.1	13.3	15.6	17.5
Technology	5.2	6.3	7.2	8.7	9.4
Management Fees	22.4	29.1	35.5	42.5	49.7
Other	33.4	39.9	47.4	55.2	60.4
TOTAL USES	████	████	████	████	████
TOTAL EXCESS/(DEFICIT)	\$1.1	-\$4.0	\$1.2	\$1.7	\$2.6

School by School Budget
 Success Academy Charter Schools, Inc.
 8 Replication Schools, 6 Expansion Schools

School	Type	Year 1 2016-17	Year 2 2017-18	Year 3 2018-19	Year 4 2019-20	Year 5 2020-21	Total
Success Academy–NYC 10	Replication	450,000	350,000	-	-	-	800,000
Success Academy–NYC 1	Replication	-	-	450,000	350,000	-	800,000
Success Academy–NYC 2	Replication	-	-	450,000	350,000	-	800,000
Success Academy–NYC 5	Replication	-	-	450,000	350,000	-	800,000
Success Academy–NYC 7	Replication	-	-	450,000	350,000	-	800,000
Success Academy–NYC 16	Replication	-	-	-	450,000	350,000	800,000
Success Academy–NYC 17	Replication	-	-	-	450,000	350,000	800,000
Success Academy–NYC 18	Replication	-	-	-	450,000	350,000	800,000
Success Academy Bronx 3 Middle School	Expansion	-	450,000	350,000	-	-	800,000
Success Academy Brooklyn 4 Middle School	Expansion	-	450,000	350,000	-	-	800,000
Success Academy HSLA - 1	Expansion	450,000	350,000	-	-	-	800,000
Success Academy HSLA - 2	Expansion	-	450,000	350,000	-	-	800,000
Success Academy HSLA - 3	Expansion	-	-	-	450,000	350,000	800,000
Success Academy HSLA - 4	Expansion	-	-	-	450,000	350,000	800,000
Success Academy Charter Schools, Inc.	CMO	414,513	429,884	447,079	464,963	483,561	2,240,000
		1,314,513	2,479,884	3,297,079	4,114,963	2,233,561	

Appendix H: Additional Information

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LIST OF SUCCESS ACADEMY SCHOOLS

Current Schools				
School	Year Opened	Current Grades Served	Current Enrollment	Current Location
Success Academy Charter School – Harlem 1	2006	K-9	930	<p><u>Grades K-4</u> Principal - Danique Day Loving 34 West 118th Street, 2nd Fl. New York, NY 10026</p> <p><u>Grades 5-7 (SA Harlem West)</u> Principal - Andrea Klein 215 West 114th Street, 5th Fl. New York, NY 10026</p> <p><u>Grades 8-9 (SA High School of the Liberal Arts)</u> Principal - Marc Meyer 111 East 33rd Street, 4th Fl. New York, NY 10016</p>
Success Academy Charter School – Harlem 2	2008	K-7	734	<p><u>Grades K-4</u> Principal - Kaitlenn McDermott/Lavinia Mackall 144 East 128th Street, 3rd Fl. New York, NY 10035</p> <p><u>Grade 5-6 (SA Harlem North West)</u> Principal - Lauren Jonas 509 West 129th Street, 3rd Fl. New York, NY 10027</p> <p><u>Grade 7 (SA Harlem East)</u> Principal - David Noah 141 East 111th Street, 3rd Fl. New York, NY 10029</p>
Success Academy Charter School – Harlem 3	2008	K-7	809	<p><u>Grades K-1</u> Principal - Tara Stant 410 East 100th Street New York, NY 10029</p> <p><u>Grades 2-7 (including Harlem East)</u> Principal - Tara Stant/David Noah 141 East 111th Street, 3rd & 4th Fls. New York, NY 10029</p>

Success Academy Charter School – Harlem 4	2008	K-7	604	<p>Grades K-4 Principal - Will Losckoch 240 West 113th Street, 3rd Fl. New York, NY 10026</p> <p>Grade 5-7 (Harlem Central) Principal - Andrew Malone 461 West 131st Street New York, NY 10027</p>
Success Academy Charter School – Harlem 5	2010	K-5	518	<p>Grades K-3 Principal - Khari Shabazz 301 West 140th Street, 3rd Fl. New York, NY 10030</p> <p>Grades 4-5 (Harlem North Central) Principal - Lisa Sun 175 West 134th Street, 3rd Fl. New York, NY 10030</p>
Success Academy Charter School – Bronx 1	2010	K-5	530	<p>Principal - Elizabeth Vandlik 339 Morris Avenue, 2nd Fl. Bronx, NY 10451</p>
Success Academy Charter School – Bronx 2	2010	K-5	546	<p>Grades K-4 Principal - Vanessa Bangser 450 St. Paul’s Place, 5th Fl. Bronx, NY 10456</p> <p>Grade 5 (Middle School Bronx 2) Principal - Laura Drechsel 270 East 167th Street Bronx, NY 10456</p>
Success Academy Charter School – Upper West	2011	K-4	462	<p>Principal - Jennifer Haynes 145 West 84th Street, 2nd Fl. New York, NY 10024</p>
Success Academy Charter School – Bed-Stuy 1	2011	K-4	426	<p>Principal - Javeria Khan 70 Tompkins Avenue, 2nd Fl. Brooklyn, NY 11206</p>

Success Academy Charter School – Bed-Stuy 2	2012	K-3	303	Principal - Beth Davis-Dillard 211 Throop Avenue, 3rd Fl. Brooklyn, NY 11206
Success Academy Charter School – Cobble Hill	2012	K-3	333	Principal - Kerri Tabarcea 284 Baltic Street, Lower Level Brooklyn, NY 11201
Success Academy Charter School – Williamsburg	2012	K-3	365	Principal - Abigail Johnson 183 South 3rd Street, 4 th Fl. Brooklyn, NY 11211
Success Academy Charter School – Hell's Kitchen	2013	K-2	218	Principal - Ali Rubin 439 West 49th Street, 2nd Fl. New York, NY 10019
Success Academy Charter School – Crown Heights	2013	K-2	240	Principal - Kristen Cipriano 330 Crown Street, 5th Fl. Brooklyn, NY 11225
Success Academy Charter School – Fort Greene	2013	K-2	206	Principal - Candido Brown 101 Park Avenue, 3rd Fl. Brooklyn, NY 11205
Success Academy Charter School – Union Square	2013	K-2	230	Principal - Paola Zalkind 40 Irving Place, 2nd Fl. New York, NY 10003
Success Academy Charter School – Prospect Heights	2013	K-2	248	Principal - Monica Komery 760 Prospect Place, 4th Fl. Brooklyn, NY 11216
Success Academy Charter School – Bronx 3	2013	K-2	249	Principal - Colleen Stewart 968 Cauldwell Avenue, 3rd Fl. Bronx, NY 10456

Success Academy Charter School – Washington Heights	2014	K-1	178	Principal - Kelsey DePalo 701 Fort Washington Avenue New York, NY 10040
Success Academy Charter School – Bergen Beach	2014	K-1	183	Principal - Jessica Johnson 1420 East 68th Street, 3rd Fl. Brooklyn, NY 11234
Success Academy Charter School – Bensonhurst	2014	K-1	181	Principal - Jonathan Dant 99 Avenue P, 4 th Fl. Brooklyn, NY 11204
Success Academy Charter School – Bronx 4	2014	K-1	209	Principal - Shea Reeder 885 Bolton Avenue, 3rd Fl. Bronx, NY 10473
Success Academy Charter School – Rosedale	2014	K-1	179	Principal - Christina Danielsen 147-65 249th Street Queens, NY 11422
Success Academy Charter School – Springfield Gardens	2014	K-1	184	Principal - Michelle Cooper 132-55 Ridgedale Street, 3rd Fl. Queens, NY 11413

SUCCESS ACADEMY CHARTER SCHOOLS REPLICATIONS & EXPANSIONS

REPLICATIONS						
Success Academy Elementary Schools to Open with CSP 2011 Funds						
Temporary School Name	CSD	Borough	Neighborhood	Year to Open	DOE agrees to site	CSP Grant Year
Success Academy–NYC 3	9	Bronx	Bronx	2016-17	yes	2011
Success Academy–NYC 8	17	Brooklyn	Crown Heights	2016-17	yes	2011
Success Academy–NYC 9	18	Brooklyn	Canarsie	2016-17	yes	2011

Success Academy Elementary Schools to Open with CSP 2014 Funds						
Temporary School Name	CSD	Borough	Neighborhood	Year to Open	DOE agrees to site	CSP Grant Year
Success Academy–NYC 4	27	Queens	Rockaways	2016-17	yes	2014
Success Academy–NYC 6	14	Brooklyn	Williamsburg	2016-17	yes	2014
Success Academy–NYC 11	23	Brooklyn	Brownsville/East NY	2017-18	yes	2014
Success Academy–NYC 13	28	Queens	South Jamaica	2017-18	yes	2014
Success Academy–NYC 12	24	Queens	Long Island City	2017-18	not yet	2014
Success Academy–NYC 14	30	Queens	Astoria	2017-18	not yet	2014
Success Academy–NYC 15	CHARTER NOT YET RECEIVED			2019-20	not yet	2014

Success Academy Elementary Schools to Open with CSP 2015 Funds (applying for)						
Temporary School Name	CSD	Borough	Neighborhood	Year to Open	DOE agrees to site	CSP Grant Year
Success Academy–NYC 10	22	Brooklyn	Midwood	2016-17	yes	2015
Success Academy–NYC 1	1	Manhattan	Lower East Side	2018-19	not yet	2015
Success Academy–NYC 2	3	Manhattan	Upper West Side	2018-19	not yet	2015
Success Academy–NYC 5	13	Brooklyn	Greenpoint	2018-19	not yet	2015
Success Academy–NYC 7	15	Brooklyn	Sunset Park	2018-19	not yet	2015
Success Academy–NYC 16	CHARTER NOT YET RECEIVED			2019-20	not yet	2015
Success Academy–NYC 17	CHARTER NOT YET RECEIVED			2019-20	not yet	2015
Success Academy–NYC 18	CHARTER NOT YET RECEIVED			2019-20	not yet	2015

Elementary schools have been approved for a specific CSD but the placement of the schools is subject to NYC DOE co-location and placement. While we may intend on opening in a specific district, NYC has discretionary approval to relocate our school to other districts.

The three elementary schools planned for opening in 2020 have not yet received charters. SA intends on applying for and receiving these charters by Fall 2016

EXPANSIONS						
CSP 2014 Funds 7 MS Expansions						
School	CSD	Borough	Feeder schools	Year to Open	DOE agrees to site	CSP Grant Year
SA Bed-Stuy Middle School	14	Brooklyn	Bed Stuy 1, Bed Stuy 2	2015-16	yes	2014
SA Cobble Hill Middle School	15	Brooklyn	Cobble Hill	2016-17	yes	2014
SA Williamsburg Middle School	14	Brooklyn	Williamsburg	2016-17	yes	2014
SA Prospect Heights Middle School	2	Manhattan	Prospect Heights	2017-18	not yet	2014
SA Washington Heights Middle School	6	Manhattan	Washington Heights	2018-19	not yet	2014
SA Queens Middle School- 1	29	Queens	Springfield Gardens, Rosedale	2018-19	not yet	2014
SA Brooklyn Middle School-5	22	Brooklyn	Bergen Beach, Bensonhurst	2018-19	not yet	2014

CSP 2015 Funds 2 MS & 4 HS Expansions						
School	CSD	Borough	Feeder schools	Year to Open	DOE agrees to site	CSP Grant Year
SA Bronx 3 M.S.	8	Bronx	Bronx 3	2017-18	not yet	2015
SA Brooklyn MS - 4	17	Brooklyn	Fort Greene, Crown Heights	2017-18	not yet	2015
SAHSLA - 1	2	Manhattan	Harlem West, Harlem East, Harlem Central, Harlem North West	2014-15	yes	2015
SAHSLA - 2	9	Bronx	Bronx 1, Bronx 2, Harlem North Central	2018-19	not yet	2015
SAHSLA - 3	2	Manhattan	Midtown West	2019-20	not yet	2015
SAHSLA - 4	14	Brooklyn	Bed Stuy	2019-20	not yet	2015

FUTURE EXPANSIONS WITHOUT CSP FUNDING						
School	CSD	Borough	Feeder schools	Year to Open	DOE agrees to site	CSP Grant Year
SA Brooklyn MS - 5	27	Queens	Rockaways	2020-21	not yet	N/A
SA Brooklyn MS - 6	22	Brooklyn	Canarsie, East NY	2020-21	not yet	N/A
SA Brooklyn MS - 7	22	Brooklyn	Midwood	2020-21	not yet	N/A

STUDENT ATTENDANCE RATES

Student Average Daily Attendance Rate					
School	2011-2012	2012-2013	2012-2013	2013-2014	2014-2015
SA Harlem 1	96%	96%	96%	96%	97%
SA Harlem 2	96%	96%	95%	95%	96%
SA Harlem 3	95%	95%	95%	96%	96%
SA Harlem 4	96%	96%	96%	96%	97%
SA Harlem 5	95%	97%	97%	97%	98%
SA Bronx 2	96%	97%	97%	97%	97%
SA Bronx 1	96%	97%	97%	96%	97%
SA Bed-Stuy 1	x	96%	95%	96%	97%
SA Upper West	x	97%	96%	97%	98%
SA Bed-Stuy 2	x	x	95%	95%	97%
SA Cobble Hill	x	x	96%	96%	98%
SA Williamsburg	x	x	94%	96%	96%
SA Harlem West	x	x	97%	97%	97%
SA Harlem Central	x	x	96%	97%	97%
SA Bronx 3	x	x	x	96%	97%
SA Crown Heights	x	x	x	98%	98%
SA Fort Greene	x	x	x	95%	96%
SA Harlem East	x	x	x	96%	96%
SA Hell's Kitchen	x	x	x	97%	97%
SA Prospect Heights	x	x	x	96%	97%
SA Union Square	x	x	x	97%	98%
SA Harlem North Central	x	x	x	97%	97%
SA Bergen Beach	x	x	x	x	98%
SA Rosedale	x	x	x	x	96%
SA Springfield Gardens	x	x	x	x	97%
SA Washington Heights	x	x	x	x	98%
SA Bronx 4	x	x	x	x	98%
SA Bensonhurst	x	x	x	x	98%
SA Bronx 1 Middle School	x	x	x	x	97%
SA Bronx 2 Middle School	x	x	x	x	98%
SA Harlem North West	x	x	x	x	97%
SA High School of the Liberal Arts	x	x	x	x	96%
SA Network TOTAL	96%	96%	96%	96%	97%

STUDENT RETENTION RATES

Student Retention				
School	2010-2011	2011-2012	2012-2013	2013-2014
SA Harlem 1	98%	93%	91%	89%
SA Harlem 2	98%	93%	92%	87%
SA Harlem 3	98%	92%	91%	89%
SA Harlem 4	96%	86%	92%	90%
SA Harlem 5	90%	87%	94%	93%
SA Bronx 2	95%	93%	91%	95%
SA Bronx 1	97%	90%	91%	91%
SA Bed-Stuy 1	x	x	89%	88%
SA Upper West	x	x	92%	87%
SA Bed-Stuy 2	x	x	86%	85%
SA Cobble Hill	x	x	90%	89%
SA Williamsburg	x	x	88%	90%
SA Harlem West	x	x	92%	87%
SA Harlem Central	x	x	94%	96%
SA Crown Heights	x	x	x	78%
SA Harlem East	x	x	x	95%
SA Hell's Kitchen	x	x	x	89%
SA Harlem North Central	x	x	x	92%
SA Prospect Heights	x	x	x	90%
SA Union Square	x	x	x	88%
SA Bronx 3	x	x	x	82%
SA Fort Greene	x	x	x	74%
Across network	96%	91%	91%	89%

Notes:

- Our final retention numbers for the 2014-2015 academic year will not be finalized until October when the Basic Educational Data System (BEDS) submissions are completed.
- Withdrawal Reasons Include: Parent Choice/chose different school model, did not return for current academic year, geographic reasons, transportation difficulties, relocation (in and out of state), parent chose not to disclose, and other.
- Students whose guardians did not complete the enrollment process are counted as “withdrawn,” but excluded from this count.

GRADUATION RATE

Note: Success Academy’s oldest students are in ninth grade; there is no data for graduation rates.

EXPULSION RATE

One student was expelled from Success Academy Charter Schools in 2014-2015, the first expulsion in our history. This is an expulsion rate of 0.01% across Success Academy Charter Schools in 2014-2015 (1 student/9065 total enrolled).

SUSPENSION RATES

2014-2015, Network-wide

Scholars Overall	504	SPED	ELL	White	Black	Hispanic	Asian	Multi-Racial	Other	Free/Reduced Lunch
11%	19%	17%	6%	3%	14%	8%	3%	12%	7%	12%

FREE OR REDUCED PRICE LUNCH RATES

Free or Reduced Price Lunch (FRPL)				
	2011-2012	2012-2013	2013-2014*	2014-2015**
School	FRPL Rate	FRPL Rate	FRPL Rate	FRPL Rate
Harlem 1	75.5%	76.7%	83.8%	86.8%
Harlem 2	76.9%	76.9%	81.2%	81.3%
Harlem 3	80.5%	80.7%	85.4%	81.5%
Harlem 4	76.4%	79.5%	80.8%	81.0%
Harlem 5	84.7%	85.9%	87.8%	85.3%
Bronx 1	85.4%	86.9%	87.1%	85.4%
Bronx 2	87.8%	88.6%	86.1%	88.4%
Bronx 3	x	x	83.0%	83.9%
Bed-Stuy 1	85.1%	77.4%	76.9%	81.4%
Bed-Stuy 2	x	77.3%	78.5%	76.0%
Upper West	39.6%	38.3%	38.1%	34.4%
Cobble Hill	x	48.6%	49.1%	46.1%
Williamsburg	x	71.5%	74.0%	68.2%
Hell's Kitchen	x	x	57.9%	63.3%
Prospect Heights	x	x	66.7%	75.6%
Crown Heights	x	x	80.5%	81.9%
Fort Greene	x	x	58.7%	74.2%
Harlem East	x	x	70.3%	77.9%
Harlem Central	x	x	71.4%	74.1%
Union Square	x	x	35.6%	36.8%
Harlem North Central	x	x	79.1%	87.6%
Harlem West	x	x	76.0%	77.4%
Rosedale	x	x	x	74.7%
Springfield Gardens	x	x	x	72.7%
Washington Heights	x	x	x	76.9%
Bronx 4	x	x	x	83.3%
Bensonhurst	x	x	x	54.0%
Bergen Beach	x	x	x	69.3%
Bronx 1 Middle School	x	x	x	77.5%
Bronx 2 Middle School	x	x	x	88.2%
Harlem North West	x	x	x	80.5%
High School of the Liberal Arts	x	x	x	77.1%
TOTAL	76.9%	74.0%	75.6%	74.8%

*As of March 14, 2014

**As of March 16, 2015

STUDENT DEMOGRAPHICS (By Charter)

School	Asian	Black	Multi-racial	Other	Hawaiian	White	Unspecified	Hispanic	American Indian
Bed-Stuy 1	1%	72%	5%	1%	0%	0%	0%	20%	1%
Bed-Stuy 2	0%	79%	3%	0%	0%	0%	0%	17%	0%
Bensonhurst	9%	22%	2%	0%	0%	45%	0%	22%	0%
Bergen Beach	1%	83%	3%	0%	0%	0%	1%	13%	0%
Bronx 1	0%	49%	8%	4%	0%	2%	0%	37%	0%
Bronx 2	1%	58%	2%	2%	0%	0%	0%	37%	0%
Bronx 3	0%	49%	1%	1%	0%	0%	0%	49%	1%
Bronx 4	0%	44%	2%	0%	0%	0%	0%	52%	0%
Cobble Hill	7%	31%	13%	1%	0%	26%	0%	23%	0%
Crown Heights	0%	89%	2%	1%	0%	0%	1%	5%	0%
Fort Greene	2%	75%	2%	0%	0%	2%	2%	16%	0%
Harlem 1	1%	73%	5%	1%	0%	1%	0%	19%	0%
Harlem 2	1%	68%	4%	1%	0%	1%	0%	25%	0%
Harlem 3	2%	59%	8%	1%	0%	1%	0%	29%	1%
Harlem 4	1%	76%	2%	0%	0%	1%	0%	19%	0%
Harlem 5	1%	67%	3%	2%	0%	1%	0%	25%	1%
Hell's Kitchen	12%	12%	6%	0%	0%	11%	0%	58%	0%
Prospect Heights	0%	82%	4%	0%	0%	1%	2%	10%	0%
Rosedale	1%	76%	5%	0%	0%	1%	0%	17%	0%
Springfield Gardens	1%	87%	3%	1%	0%	0%	2%	4%	1%
Union Square	17%	17%	11%	0%	0%	27%	1%	26%	0%
Upper West	6%	16%	16%	0%	0%	39%	0%	22%	0%
Washington Heights	1%	15%	1%	0%	0%	3%	0%	80%	0%
Williamsburg	2%	31%	16%	1%	0%	9%	1%	39%	0%

School	% Students with Disabilities*	% English Language Learners*
Bed-Stuy 1	15%	3%
Bed-Stuy 2	17%	3%
Bensonhurst	16%	19%
Bergen Beach	12%	0%
Bronx 1	12%	11%
Bronx 2	14%	13%
Bronx 3	12%	5%
Bronx 4	11%	8%
Cobble Hill	12%	5%
Crown Heights	10%	2%
Fort Greene	16%	3%
Harlem 1	18%	10%
Harlem 2	14%	11%
Harlem 3	16%	9%
Harlem 4	15%	12%
Harlem 5	17%	14%
Hell's Kitchen	16%	8%
Prospect Heights	14%	2%
Rosedale	11%	4%
Springfield Gardens	9%	2%
Union Square	13%	2%
Upper West	18%	5%
Washington Heights	11%	17%
Williamsburg	16%	11%

*This includes all students with disabilities and English language learners identified at any point in the school's history.

STUDENT ENROLLMENT BY SCHOOL & GRADE

Student Enrollment 2011-2014												
Year	Date	School	K	1	2	3	4	5	6	7	8	Total
2011-2012	Fall	Harlem 1*	95	122	183	136	112	50	40	---	---	738
		Harlem 2	122	146	150	137	69	---	---	---	---	624
		Harlem 3	98	154	154	133	80	---	---	---	---	619
		Harlem 4	84	90	88	87	56	---	---	---	---	405
		Harlem 5	60	79	106	---	---	---	---	---	---	245
		Bronx 1	59	87	105	---	---	---	---	---	---	251
		Bronx 2	52	87	108	---	---	---	---	---	---	247
		Bed-Stuy 1	85	95	---	---	---	---	---	---	---	180
		Upper West	111	55	---	---	---	---	---	---	---	166
		Total										3475
2012-2013	Fall	Harlem 1*	84	92	126	157	117	98	47	36	---	757
		Harlem 2*	84	112	157	132	114	63	---	---	---	660
		Harlem 3*	60	103	126	129	114	75	---	---	---	607
		Harlem 4	81	87	85	79	81	51	---	---	---	464
		Harlem 5	84	80	85	80	---	---	---	---	---	329
		Bronx 1	84	80	91	91	---	---	---	---	---	346
		Bronx 2	86	85	93	97	---	---	---	---	---	361
		Bed-Stuy 1	85	75	80	---	---	---	---	---	---	240
		Upper West	81	111	57	---	---	---	---	---	---	249
		Cobble Hill	103	48	---	---	---	---	---	---	---	151
		Williamsburg	81	56	---	---	---	---	---	---	---	137
		Bed-Stuy 2	114	53	---	---	---	---	---	---	---	167
		Total										4468
2013-2014	Fall	Harlem 1	116	119	114	124	148	---	---	---	---	621
		Harlem 2	120	88	119	129	121	---	---	---	---	577
		Harlem 3	89	61	112	112	114	---	---	---	---	488
		Harlem 4	87	84	90	84	70	---	---	---	---	415
		Harlem 5	88	87	86	93	---	---	---	---	---	354
		Bronx 1	120	88	89	87	78	---	---	---	---	462
		Bronx 2	120	87	90	90	81	---	---	---	---	468
		Bronx 3	87	119	---	---	---	---	---	---	---	206
		Hell's Kitchen	89	51	---	---	---	---	---	---	---	140
		Union Square	72	52	---	---	---	---	---	---	---	124
		Upper West	118	82	122	77	---	---	---	---	---	399
		Bed-Stuy 1	105	90	101	89	---	---	---	---	---	385
		Bed-Stuy 2	79	98	53	---	---	---	---	---	---	230
		Cobble Hill	77	104	58	---	---	---	---	---	---	239
		Crown Heights	90	58	---	---	---	---	---	---	---	148
		Fort Greene	85	52	---	---	---	---	---	---	---	137
		Prospect Heights	139	59	---	---	---	---	---	---	---	198
		Williamsburg	85	87	63	---	---	---	---	---	---	235
Harlem Central	---	---	---	---	---	71	54	---	---	---	125	

	Harlem North Central	---	---	---	---	76	99	---	---	---	175
	Harlem West	---	---	---	---	---	109	84	51	32	276
	Harlem East	---	---	---	---	---	105	124	---	---	229
	Total										6631

All enrollment numbers were taken from the BEDS Day (the first Wednesday in October) of their respective years.

*Harlem West students are counted in the Harlem 1 numbers and Harlem Central students are in the Harlem 2 and Harlem 3 numbers.

TIME SPENT BY SUBJECT

Time Spent by Subject Each Week: Grades K-4	
Subject	Hours per Week
English/Language Arts	15.25 hours
Mathematics	7.8 hours
Science	3.75 hours
Social Sciences/Project Based Learning	2 hours*
Enrichment (i.e. chess, art, dance, sports)	3.3 hours
Total	30.1 hours

*Project Based Learning units occur for 2 hours a week for 14 weeks of the school year.

Time Spent by Subject Each Week: Grades 5-8	
Subject	Hours per Week
Math	4.6 hours
Literature	4.6 hours
Writing	4.6 hours
Science	3.7 hours
History	3.7 hours
Electives (chess, art, debate, musical theater, dance, journalism, sports)	6.8 hours
Action Now (current events, health, social emotional learning, sex education, fitness)	3.15 hours
Independent Reading	1.66 hours
Total	32.75 hours

Time Spent by Subject Each Week: Grades 9-12	
Subject	Hours* per Week
Literature & Rhetoric	8
Science	5
Mathematics	5
History/Social Sciences	4
Computer Science (Programming)	2
Fine Arts	2
Speech & Debate	2
Sports, Fitness and Wellness	2
Independent Study Block	4
Advisory: Action Now	3
College Knowledge	1
Electives	4
Total	42 hours
*Class hours are 55 minutes long so total instruction time is 38 hours; with lunch and transition times, scholars are in school 42 hours/week, plus time for clubs, sports, rehearsals, and performances.	

ASSESSMENTS OVERVIEW

	Test	Grade	Frequency	Why do we give this assessment?
Reading	Fountas & Pinnell (F&P)	K, 3-6	3x/year 4x/year	Tracking scholars' reading levels ensures they are continuing to grow as readers and are challenged by the books they read in class and at home.
	Roots	1	5x/year	
	Stepping Stones	K	3x/year	
	ELA assessment	1 2 3-12	4x/year 6x/year 2x/year	ELA assessments test scholars' reading comprehension, critical thinking skills, and ability to write about what they have read.
Math	Counting Jar, Money Jar, Array Jar	K-2 3, 4	3x/year 2x/year	Scholars have to be great counters to master higher-level math skills.
	No Hesitation Math (NHM, Math Facts)	K-4	Weekly	Math facts are the foundation for scholars' success in Math.
	Math Routines	K 1-4	4x/year 2x/year	Scholars need to be able to transfer their ability to count actual objects to counting 2-dimensional object on paper.
	Math Interim Assessment (IA)	K-4	3x/year	Math IAs test scholars' ability to solve complex, open-ended math problems.
	Math Mastery	3-8	2x/year	These assessments are aligned with the style of question they will see on the NYS Math exam.
Science	Science IA	2, 3 4	4x/year 2x/year	Scholars that understand how the world works will better understand the world around them!
	Science Mastery	4, 8	4x/year	These assessments are aligned with the style of questions scholars will see on the NYS science exam.
NYS Testing	NYSITELL/NYSESLA T	K-3	1x/year	State tests assess scholars' mastery of New York State Common Core Learning Standards and also evaluate how well schools are serving students.
	NY State ELA & Math Tests	3-8	1x/year	
	NY State Science Test	4, 8	1x/year	
Other	MAP Test (Reading & Math)		2x/year	This computer-based test adjusts in real-time to a scholar's ability level, providing detailed information about reading and math skills.
	History Trimester Final	5-12	3x/year	These history assessments challenge scholars to understand the underlying historical causes of current issues and measure scholars' historical thinking and methods of historical analysis.
	History Quiz	5-8 9-12	5x/year 8x/year	
	Spelling	1-4	3x/year	Correct spelling is an important element of great writing

LANGUAGES SPOKEN AT HOME

Languages (other than English) spoken by SA scholars' families:

1. Abkhazian
2. Albanian
3. Arabic
4. Bambara
5. Bateka
6. Bengali
7. Chinese
8. Creole
9. Danish
10. Ewe
11. Fula/Fulani
12. French
13. French Creole
14. German
15. Hausa
16. Italian
17. Japanese
18. Korean
19. Kuanyama
20. Madieko
21. Mandingo
22. Manika
23. Polish
24. Portuguese
25. Romanian
26. Russian
27. American Sign Language
28. Soninke
29. Spanish
30. Tagalog
31. Twi
32. Wolof
33. Yoruba
34. Zarma

SAMPLE WEEK OF T-SCHOOL IN 2015

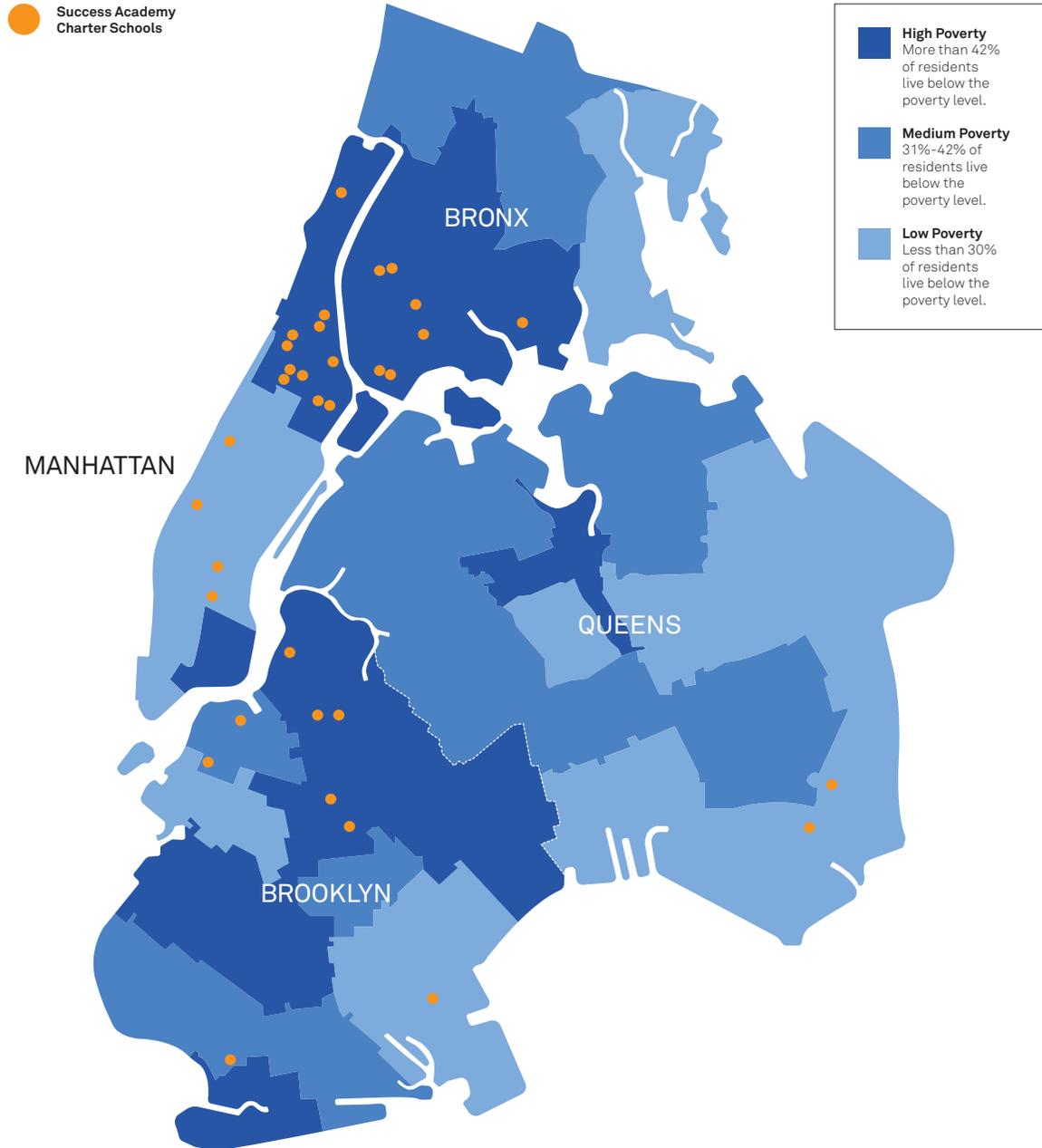
Day 1	Day 2	Day 3	Day 4	Day 5
New Kindergarten Teachers	New Grade 3-4 Teachers	Returning Grade 2 Teachers	Returning Grade 6 Teacher	New and Returning Elementary School Chess Teacher
Team Meeting	Team Meeting	Team Meeting	Team Meeting	Team Meeting
Literacy Information Session	Math Information Session	Vision of Mastery	Introduction to Behavior Management and Active Listening in Middle School: Overview	Active Learning: Chess Directions, Routines and Transitions
Establishing Authority: Your Presence in a Classroom	Teaching Reading at Success: Spotlight on Read Aloud	Conceptual Math and Mastery	Teaching Humanities in the Age of the Common Core	Fourth Grade Scope and Sequence: The Power of Playing through Games
Number Stories: What it Looks Like	Teaching Writing at Success: Spotlight on Writing Workshop	Active Learning in Context: Whole Group Instruction	Powerful Texts, Powerful Ideas	Generating Chess Unites, Scope and Sequence
Number Stories Anticipating Scholar Strategies and Misconceptions	Building Adult Culture	Guided Planning Time	It's All About the Adults: Collaboration, Coaching and Professionalism at Success	Advisory

SAMPLE WEEK OF PRINCIPAL TRAINING IN 2015

Day 1	Day 2	Day 3	Day 4
Leading Your Building	Active Learning	Literacy	STEM
Managing School Culture (Systems & Structures)	Defining Pedagogy in our School Model	Fall in Love with Books: Classroom Library Set-Up	Conceptual Math at Success Academies: Setting the Foundation for Mastery
Giving Direct and Helpful Feedback	Moving Teacher Practice: The Teacher Development Cycle	T School Prep: Practice with Content Leaders (Literacy Team)	Technology/Digital Citizenship Training (for Middle School and High School Leaders)
Advisory: Interacting with Parents	Making 'ET Work For You: Striking the Perfect Tone	K-1 Leaders: Readers, Writers, and THINKERS: Launching K-1 Literacy Right	Creating a Culture of Daily Mastery in Number Stories
What Matters to You, Matters to Your Team: Communicating Your Vision of Excellence to Your School Community	Getting the Best Results From Real Time Coaching	3-4 Leaders: Powerful Tools in Plain Sight: How Leveraging Reading Notebooks and Reading Logs Will Set Your Scholars Up for Success in Grades 3 and 4	T School Prep: Practice with Content Leaders (Math Team)
Establishing Authority and Clear Routines & Directions	Intro to ACTION Now	2-4 Leaders: The Power of Argumentation: Teaching Scholars to Write in Response to Literature with Precision, Clarity and Ease	Presentation Training with Science Team

SUCCESS ACADEMY SCHOOLS IN HIGH POVERTY NEIGHBORHOODS

Success Academy Serves Primarily Low-Income Neighborhoods



Based on U.S. Census 2000, NYC Environmental Public Health, "Neighborhood Poverty by Sub-Borough" <http://www.nyc.gov/html/doh/downloads/pdf/tracking/povertymapdocument.pdf>

SMS DEVELOPMENT & IMPLEMENTATION STATUS

School Management System – Development & Implementation Status		
Module Name	Module Description	Current Status
SIS Module		
Attendance and Culture	The tracking of all culture, attendance & homework.	Version 2.5 released
Robocall	Automated messaging via cellphone, landlines, and email.	Version 2.5 released
SPED	The tracking of IEPs, programs, services, and classifications.	Version 2.5 released
Academics	Creating, grading, tracking, and complex analysis of all tests	Version 2.5 released
Teacher Attendance	Teachers can enter requests for time off / sick days, and a leader can approve and assign a substitute	Version 2.5 released
IMT / TDT Module		
Instructional Management Tool	Testing, tracking & analysis of all teachers using QET metrics, student performance data, and school leadership metrics.	Version 1 released
Parent Portal Module		
Parent Portal	Ability for parents to track their children's performance & communicate to SA-CS staff	In UAT
Advisory Module		
Advisory	Tracking & analysis of bullying logs, suspension & Behavior Management, information requests and other compliance items for the DOE / SUNY	Version 2.5 Released
High School Support Module		
High School	Adding new modules to the SIS to support SA-CS's high schools	Not Started Yet
Enrollment Module		
Enrollment	The management of enrollment applications, lottery, waitlist and post lottery event management.	In Requirements Gathering Phase
Event Management Module		
Event Management	The creating, managing & tracking of about 12K events across all of SCN's schools & Network	Not Started
AX/ ERP Module		
Finance Procurement, and HR Solution	AX (Finance, Procurement & HR.)	Finance Released, HR in UAT and T&L in development

S U C C E S S
A C A D E M Y
C H A R T E R
S C H O O L S

Brian Martin
Charter Schools Program
US Department of Education

July 14, 2015

RE: Addendum to OMB Form LLL:

In addition to the lobbyist listed on the certified Form LLL, Success Academy Charter Schools, Inc. also engages the following lobbyists:

Kenneth D. Salomon
Thompson Coburn LLP
1909 K Street, NW
Washington, DC 20006

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Sincerely,



Scott Sobelman
Associate Director of Finance
Success Academy Charter Schools, Inc.



Budget Narrative File(s)

* **Mandatory Budget Narrative Filename:**

[Add Mandatory Budget Narrative](#)

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To add more Budget Narrative attachments, please use the attachment buttons below.

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Budget Narrative

Success Academy has compiled years of financial data on the costs related to opening schools and educating students. All budget figures and assumptions are based on SA's past experiences and careful projections. To ensure that each school receives its commensurate share of the federal funds, SA has prepared a school-by-school budget indicating the budget allocations planned to be disbursed to each school. After SA draws down on the funds, the grant proceeds will be disbursed accordingly to the schools for the amount of actual allowable expenses incurred during the budget period. See Appendix G for a detailed school-by-school budget. Additionally, all anticipated salaries are competitive for the New York City job market. SA chose to use actual spend from FY14 and FY15 as base values for year one and two of school opening and expansion during the project. Although these numbers are subject to fluctuation year over year, requesting funding based on prior expenses will help to ensure conservative projections.

Equipment costs associated with replication are not covered by per pupil funding (student recruitment, desks, chairs, etc.). Thus, the attached budget requests funding for costs incurred in the first two years of a school's existence that are critical to providing students with well-equipped and highly functioning environments in which to feel safe, be comfortable, and love learning.

Funding for new and expanding schools

Group One 2015-2016: 1 Expansion High School

- Success Academy High School of the Liberal Arts 1 (HSLA-1) (opened in 2014-15)

Group Two 2016-2017: 1 Replication Elementary School

- Success Academy-NYC 10* (NYC CSD 22 – Brooklyn)

Group Three 2017-2018: 2 Expansion Middle Schools

- Success Academy Bronx 3 Middle School
- Success Academy Brooklyn 4 Middle School

Group Four 2018-2019: 4 Replication Elementary Schools, 1 Expansion High School

- Success Academy-NYC 1* (NYC CSD 1 – Manhattan)
- Success Academy-NYC 2* (NYC CSD 3 – Manhattan)
- Success Academy-NYC 5* (NYC CSD 13 – Brooklyn)
- Success Academy-NYC 7* (NYC CSD 15 – Brooklyn)
- Success Academy HSLA-2 (Serving scholars from MS Bronx 1, MS Bronx 2 and MS Harlem North Central)

Group Five 2019-2020: 3 Replication Elementary Schools, 2 Expansion High Schools

- Success Academy NYC Elementary School FY20-1**
- Success Academy NYC Elementary School FY20-2**
- Success Academy NYC Elementary School FY20-3**
- Success Academy HSLA-3 (Serving scholars from MS Bed Stuy)
- Success Academy HSLA-4 (Serving scholars from MS Midtown West)

*Elementary schools have been approved for a specific CSD but the placement of the schools is subject to NYC DOE co-location and placement. While we may intend on opening in a specific district, NYC has discretionary approval to relocate our school to other districts.

**The three elementary schools planned for opening in 2020 have not yet received charters. SA intends to apply for, and receive, these charters before the end of 2017.

Budget Line Items

1. Personnel:

- The repeatedly successful replication and expansion of SA schools is due in large part to the structure and support provided by a strong central network office. The network staff members responsible for the oversight and management of the expansion and replication of SA schools provide vital support to the expansion schools: community outreach, initial school setup, curriculum design and professional development for the teachers, leaders and school operations. The personnel line item covers the CMO's initial operational costs associated with the replication and expansion and are equal to [REDACTED] of the total charter school expansion and replication planning and implementation. Departments directly funded by this grant are: Schooling, Technology, Enrollment, Talent Recruitment, Supply Chain, Operations, Advisory and Executive.

2. Fringe Benefits:

No funding is requested for fringe benefits.

3. Travel:

SA requests \$2,000 per year to cover the travel expenses related to the annual project directors meeting in Washington DC. This amount includes both air/ground travel as well lodging in Washington DC for two members of the project team.

4. Equipment

SA requests that 75% of technology expenses be covered by the CSP grant. When each elementary school is opened, approximately \$150,000 is spent on technology equipment (mainly laptop and tablet computers, technology infrastructure setup and interactive whiteboards with student response devices, and document cameras). In the second year approximately \$50,000 is

spent to cover equipment expenses for the added grade level. When each middle and high school is opened, approximately \$275,000 is similarly spent on technology equipment. In addition to the technology expenses associated with opening new classrooms, middle and high school technology equipment costs also include laptop purchases each year. Total middle and high school technology costs will average \$200,000 in the first year, followed by \$75,000 in the second year. Thus, Success Academy's ask for each elementary school is \$100,000 for year one and \$50,000 for year two; for each middle school is \$125,000 for year one and \$75,000 for year two; and for each high school is \$125,000 for year one and \$75,000 for year two.

- **Year One:** Group One school expands by one grade.
- **Year Two:** Group Two schools open. Group One expands by one grade.
- **Year Three:** Group Three schools open. Group Two expands by one grade.
- **Year Four:** Group Four schools open. Group Three expands by one grade.
- **Year Five:** Group Five schools open. Group Four expands by one grade.

5. Supplies

a. Classroom costs:

When each school is opened, a variety of startup supplies are required (assessment materials, curriculum materials, instructional supplies and textbooks). The average cost for a single elementary school room is \$15,000, \$22,000 for a single middle school room, and \$22,000 for a single high school room. This is a considerable upfront cost, and these are the essential tools and supplies that SA's scholars need. For the first year of operation, a SA school opens 14 rooms and for each subsequent year, 7 rooms are opened. The portion of expenses not

covered by CSP will be covered using Title IA funding, targeted at funding the opening of schools in low-income areas.

- **Year One:** Group One school expands by 7 rooms.
- **Year Two:** Group Two schools opens 14 rooms; Group One expands by 7 rooms
- **Year Three:** Group Three schools open 14 rooms; Group Two expands by 7 rooms
- **Year Four:** Group Four schools open 14 rooms; Groups 3 expands by 7 rooms
- **Year Five:** Group Five schools open 14 rooms; Group Four expand by 7 rooms

b. **Furniture and Fixtures:**

There are significant upfront costs associated with the purchase of furniture such as desks, chairs, bookcases – all essential to creating an engaging learning environment. For elementary schools, the total cost for a school in its first year of operation is approximately \$125,000 and \$75,000 in the school’s second year. For middle and high schools, SA estimates costs to be \$150,000 during the first year and \$100,000 in the second year.

6. **Contractual: No funding is requested for contractual.**

7. **Construction: No funding is requested for construction.**

8. **Other**

a. **Talent Recruitment:**

Each school spends approximately \$25,000 a year on talent recruitment. These figures are based on historical figures and include job posting advertisements, headhunter services, online and print media advertising, and a newly updated successcareers.org website. SA requests 100% of talent recruitment to be covered during both years of the school start-up.

- **Year One:** Group One opens and recruits new staff.
- **Year Two:** Group Two opens and recruits new staff. Group One recruits staff for an additional grade.
- **Year Three:** Group Three opens and recruits new staff. Group Two recruits staff for an additional grade.
- **Year Four:** Group Four opens and recruits new staff. Group Three recruits staff for an additional grade.
- **Year Five:** Group Five opens and hires new staff. Group Four recruit staff for an additional grade.

b. **Scholar Recruitment:**

Also included in Other Expenses are scholar recruitment costs. In the first year of operation, each SA elementary school spends approximately \$75,000 on recruitment, followed by \$50,000 during the second year. These numbers assume that each SA elementary school will ultimately enroll approximately 168 new students in their first year and 100 new students in each subsequent year until fully matured. This growth plan is based on the New York state charter school enrollment regulations. SA's intensive student recruitment campaign helps ensure that all students, including those with special education needs and English Language Learners, are informed about and can apply for SA's random admission lottery. As SA recruits only students in the early elementary years, recruitment costs are not included in the budgets for SA middle schools. In addition to community mailings and newspaper advertisements, recruitment costs include conducting several pre-enrollment parent meetings to distributing application materials to thousands of admitted and wait-listed applicants. The middle schools do not require scholar recruitment funds, as our elementary schools feed directly into middle schools.

Scholar Recruitment materials are presented in multiple languages to accommodate all parents. Though SA is not opening new elementary schools each year under this round of CSP funding, student recruitment for the new schools begins in the year prior to the school's opening. Comprehensive student recruitment campaigns designed to raise awareness about parent choice are launched in October at the latest in the calendar year the school is set to open. Thus, expenses related to student recruitment are incurred as early as nine months before the school opens its doors in August.

Contingency Budget for School Closure

In the event of a loss of charter, SA will incur the following expenses associated with the dissolution of an individual school. All expenses will be comparable for an elementary and middle school alike. The cash necessary to pay for the dissolution of a SA school would be drawn from the considerable cash reserves that have been built over past years throughout all of our pre-existing 32 schools. As of May 2015, the unrestricted net asset balance for the education corporation making up all of the SA schools was \$27.1 million. This amount makes up 15% of the FY16 operating budget for the schools and in the event of a delayed per pupil payment, SA would have sufficient cash reserves for about 10 weeks to ensure that payroll and other school fiscal obligations are met. In the event of a school closure there will be three main expenses associated with closing our schools. In addition to the unrestricted net assets, Success Academy Charter Schools – New York City maintains an escrow account as required by our charter to be utilized in the event of school dissolution. This escrow balance is currently at \$350,000.

- 1. Severance pay for employees:** For the approximate 50% of SA employees that we are unable to relocate to another SA school, the school will compensate the employees with a reasonable severance payment equal to no more than [REDACTED]

salary. For a first year school with 20 employees assuming an average salary of [REDACTED], this expense would be expected to approach [REDACTED] plus an additional [REDACTED] in payroll taxes bringing the dissolution expense for personnel to [REDACTED].

2. **Moving and Storage:** All of the permanent fixtures and leasehold improvements made prior to the building's closure would be written off. All of the supplies in the schools would be resourced throughout the network and the approximate holding/moving costs would be \$25,000 per month for six months. The total for this expense would be \$150,000

3. **Outsourced Legal:** There would likely be a legal dispute regarding the closing of the schools and in the event of a closure, we will enlist counsel to assist the schools with the legal proceedings involved with dissolution including state and federal education department filings, state and federal tax filings, and assistance in drafting employee severance agreements. We estimate this expense to be approximately \$200,000 for the closure of the school.

Considering the three expenses outlined above, SA anticipates the total cost for closing a school to be:

Severance Pay: [REDACTED]

Moving & Storage: 150,000

Outsourced Legal: 200,000

[REDACTED]

**U.S. DEPARTMENT OF EDUCATION
SUPPLEMENTAL INFORMATION
FOR THE SF-424**

1. Project Director:

Prefix:	First Name:	Middle Name:	Last Name:	Suffix:
	Scott	E.	Sobelman	

Address:

Street1:	95 Pine Street
Street2:	Floor 6
City:	New York
County:	
State:	NY: New York
Zip Code:	10005
Country:	USA: UNITED STATES

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

Email Address:

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2. Novice Applicant:

Are you a novice applicant as defined in the regulations in 34 CFR 75.225 (and included in the definitions page in the attached instructions)?

- Yes No Not applicable to this program

3. Human Subjects Research:

a. Are any research activities involving human subjects planned at any time during the proposed Project Period?

- Yes No

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

- Yes Provide Exemption(s) #: 1 2 3 4 5 6

No Provide Assurance #, if available:

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c. If applicable, please attach your "Exempt Research" or "Nonexempt Research" narrative to this form as indicated in the definitions page in the attached instructions.

	Add Attachment	Delete Attachment	View Attachment
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**U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS**

OMB Number: 1894-0008
Expiration Date: 04/30/2014

Name of Institution/Organization

Success Academy Charter Schools, Inc.

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						
2. Fringe Benefits	0.00	0.00	0.00	0.00	0.00	0.00
3. Travel	2,000.00	2,000.00	2,000.00	2,000.00	2,000.00	10,000.00
4. Equipment	225,000.00	500,000.00	625,000.00	750,000.00	300,000.00	2,400,000.00
5. Supplies	575,000.00	1,375,000.00	1,850,000.00	2,325,000.00	1,175,000.00	7,300,000.00
6. Contractual	0.00	0.00	0.00	0.00	0.00	0.00
7. Construction	0.00	0.00	0.00	0.00	0.00	0.00
8. Other	100,000.00	175,000.00	375,000.00	575,000.00	275,000.00	1,500,000.00
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs*	0.00	0.00	0.00	0.00	0.00	0.00
11. Training Stipends	0.00	0.00	0.00	0.00	0.00	0.00
12. Total Costs (lines 9-11)						

***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 Success Academy Charter Schools, Inc.	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	0.00	0.00	0.00	0.00	0.00	0.00
2. Fringe Benefits	0.00	0.00	0.00	0.00	0.00	0.00
3. Travel	0.00	0.00	0.00	0.00	0.00	0.00
4. Equipment	0.00	0.00	0.00	0.00	0.00	0.00
5. Supplies	0.00	0.00	0.00	0.00	0.00	0.00
6. Contractual	0.00	0.00	0.00	0.00	0.00	0.00
7. Construction	0.00	0.00	0.00	0.00	0.00	0.00
8. Other	0.00	0.00	0.00	0.00	0.00	0.00
9. Total Direct Costs (lines 1-8)	0.00	0.00	0.00	0.00	0.00	0.00
10. Indirect Costs	0.00	0.00	0.00	0.00	0.00	0.00
11. Training Stipends	0.00	0.00	0.00	0.00	0.00	0.00
12. Total Costs (lines 9-11)	0.00	0.00	0.00	0.00	0.00	0.00

SECTION C - BUDGET NARRATIVE (see instructions)

Abstract: Replicating & Expanding Success for Thousands of NYC Children

Since opening its first charter school in Harlem in 2006, Success Academy (SA) has maintained an excellent track record for operational efficiency and high academic achievement among students of color, English Language Learners (ELL), and special needs children alike. SA has reversed the achievement gap for thousands of children: 76% of its scholars qualify for free or reduced price lunch; 85% are children of color. For six consecutive years, SA students have achieved tremendous academic success, ranking in the top percentages of all schools in the city and state. On the 2014 state exams, 100% of SA students passed science; 94% passed math, compared to 35% of NYC students; 64% passed English Language Arts, compared with 29% of NYC kids. SA's ELL and special needs students outperformed their citywide peers by dramatic margins. Even as SA students have excelled academically, they have also benefitted from a robust, engaging curriculum: science five days a week, chess, art, music, dance, and sports. They know the thrill of competing – and winning – at chess and debate championships. They have met famous writers and journalists, chess grandmasters, and Olympic champions. Regardless of personal circumstances, they have experienced a world rich in art, music, theater and dance.

The vast majority of NYC public schools are failing to help students, especially students of color, achieve at a level that will prepare them for college. There is great demand for SA schools, as this year's wait list of 19,000 shows. Determined to meet this need, as of August 2015, SA will operate 34 pre-K-12 charter schools in NYC, serving 11,000 primarily low-income, minority students in neighborhoods deprived of safe, high-quality schools. With the help of this grant and other public and private funding, SA will replicate and expand, opening 22 elementary, 11 middle, and 3 high schools over the next five years, educating more than 27,500 students. SA requests CSP support to open 8 elementary schools and expand 2 middle and 4 high schools.