

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 # U282M150022

Grants.gov Tracking#: GRANT11961985

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"/>
----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------------------------------------------------------------------------------------------

* 3. Date Received: <input type="text" value="07/15/2015"/>	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: <input type="text" value="UP Education Network, Inc."/>	
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="27-2194956"/>	* c. Organizational DUNS: <input type="text" value="9646079280000"/>

d. Address:

* Street1:	<input type="text" value="90 Canal Street, Suite 600"/>
Street2:	<input type="text"/>
* City:	<input type="text" value="Boston"/>
County/Parish:	<input type="text"/>
* State:	<input type="text" value="MA: Massachusetts"/>
Province:	<input type="text"/>
* Country:	<input type="text" value="USA: UNITED STATES"/>
* Zip / Postal Code:	<input type="text" value="02114-2022"/>

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="Kimberly"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Wong"/>	
Suffix: <input type="text"/>	
Title: <input type="text" value="Director of Communications and Development"/>	

Organizational Affiliation: <input type="text"/>

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

* Email: <input type="text"/>

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:**

Scaling UP: UP Education Network's Strategic Plan to Restart Possible in Massachusetts

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="3,360,452.00"/>
* b. Applicant	<input type="text" value="200,000.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="11,280,000.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="14,840,452.00"/>

*** 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:

Application for Federal Assistance SF-424: Attachment

16. Congressional Districts of:

b. Program/Project: MA-008, MA-007, MA-003, and MA-001

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>Kimberly Wong</p>	<p>TITLE</p> <p>Chief Executive Officer</p>
<p>APPLICANT ORGANIZATION</p> <p>UP Education Network, Inc.</p>	<p>DATE SUBMITTED</p> <p>07/15/2015</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: UP Education Network, Inc.
* Street 1: 90 Canal Street, Suite 600 Street 2: _____
* City: Boston State: MA: Massachusetts Zip: 02114-2022
Congressional District, if known: MA-008

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

6. * Federal Department/Agency: U.S. 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: Scott Middle Name: _____
* Last Name: Given Suffix: _____
* Street 1: 90 Canal Street, Suite 600 Street 2: _____
* City: Boston State: MA: Massachusetts Zip: 02114-2022

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

Prefix _____ * First Name: Scott Middle Name: _____
* Last Name: Given Suffix: _____
* Street 1: _____ Street 2: _____
* City: _____ State: _____ Zip: _____

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: Kimberly Wong
* Name: Prefix _____ * First Name: Scott Middle Name: _____
* Last Name: Given Suffix: _____
Title: Chief Executive Officer Telephone No.: _____ Date: 07/15/2015

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PR/Award # U282M150022

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.

	Add Attachment	Delete Attachment	View Attachment
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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	
UP Education Network, Inc.	
* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
Prefix:	* First Name: Scott Middle Name:
* Last Name: Given	Suffix:
* Title: Chief Executive Officer	
* SIGNATURE: Kimberly Wong	* DATE: 07/15/2015

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:

UP Education Network: CSP Grants for Replication and Expansion of High-Quality Charter Schools

ABSTRACT NARRATIVE

Project Title: *Scaling UP: UP Education Network's Strategic Plan to Restart Possible in Massachusetts*

Project Goals and Alignment with CSP:

UP Education Network is one of the few school management organizations in the country that is successfully tackling the challenges of in-district school turnaround. Our mission is to rapidly transform chronically underperforming district schools into extraordinary schools that sustain high achievement over time. Critical to our mission is our ability to restart struggling elementary and middle schools as Horace Mann charter schools. Two of UP Education Network's existing five schools (called UP Academies) are Horace Mann charters, through which we currently serve 1,090 K1-8 students from historically underserved communities in Massachusetts.

Over the next five years, UP Education Network seeks to:

- (1) Expand UP Academy Charter School of Boston by 55 seats;
- (2) Expand UP Academy Charter School of Dorchester by two grade levels;
- (3) Restart and transform 6 additional underperforming elementary and middle district schools as Horace Mann charter schools in Boston and Springfield;
- (4) Standardize shared practices within UP Education Network.

Expected Outcomes:

- (1) Enroll an additional 3,200 students in new Horace Mann UP Academies by fall 2020;
- (2) Sustain – or in some cases, surpass – special education, English language learning, and economically disadvantaged student populations at rates comparable to schools within their respective districts;
- (3) 100% of new Horace Mann UP Academies will outperform Level 3 district schools in standardized academic proficiency rates; and
- (4) 100% of new Horace Mann UP Academies will outperform Level 3 district schools in student stability.

Target Populations:

We seek to serve students in historically underserved communities within Boston and Springfield, Massachusetts. This includes students who are low-income, are educationally disadvantaged, and/or who are English language learners.

Organization Information:

UP Education Network, Inc.
90 Canal Street, Suite 600
Boston, MA 02114-2022

Contact Information:

Kimberly Wong
Phone: [REDACTED]

Project Narrative File(s)

* **Mandatory Project Narrative File Filename:**

[Add Mandatory Project Narrative File](#)

[Delete Mandatory Project Narrative File](#)

[View Mandatory Project Narrative File](#)

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

[Add Optional Project Narrative File](#)

[Delete Optional Project Narrative File](#)

[View Optional Project Narrative File](#)

Introduction to UP Education Network

“We need everyone who cares about public education to take on the toughest assignment of all and get in the business of turning around our lowest-performing schools.” – U.S. Secretary of Education Arne Duncan¹

In response to Secretary Duncan’s 2009 call to action, Scott Given founded the UP Education Network (UP) with the mission to rapidly transform chronically underperforming district schools into extraordinary schools that sustain high achievement over time. Today, it is one of the few school management organizations in the country that is successfully tackling the challenges of in-district school turnaround. In partnership with local school districts, cities, and the state of Massachusetts, UP has restarted five struggling elementary and middle schools in Boston and Lawrence to date, serving 2,500 K1-8 students from historically underserved communities. UP has an aggressive growth plan to restart and expand 15 additional schools over the next five years, serving a total of 10,000 students.

In early 2010, Massachusetts legislature signed *An Act Relative to the Achievement Gap*, a landmark education reform law to intervene in Level 4 schools. The Massachusetts Department of Elementary and Secondary Education (ESE) defines Level 4 schools as the state’s most struggling schools based on an analysis of four-year trends in absolute achievement, student growth, and improvement trends as measured by the Massachusetts Comprehensive Assessment System (MCAS). This intervention legislation established a favorable legal and regulatory environment for school turnaround operators, creating three “vehicles” for school restart that UP has since pursued, including Type 3 Horace Mann (in-district) charter schools. Unlike other Horace Mann charter schools,

Type 3 Horace Mann charter schools do not require approval of the local collective bargaining unit before opening.

Although agnostic to which legislative vehicle it utilizes to transform underperforming district schools, UP recognizes and believes it is of critical importance that it leverage the Horace Mann charter school vehicle to achieve its ambitious growth plans. With 40% of our current portfolio of schools operating as Horace Mann charter schools, we intend to maintain a similar proportion once we achieve scale; by fall 2020, we aim to operate eight Horace Mann charter schools.

ABSOLUTE PRIORITY 1 and Application Requirements (e), (m) and (n)

Two schools in our current portfolio are Horace Mann charter schools: UP Academy Charter School of Boston (UAB) and UP Academy Charter School of Dorchester (UAD), both indicative of UP's experience in launching and managing high-quality charter schools.

The Boston Public Schools (BPS), the largest school district in Massachusetts, had consistently identified the Patrick F. Gavin Middle School as among the lowest 20 percent of schools relative to other schools in the same grade span, and the Gavin was thus targeted for greater district intervention. BPS invited UP to partner with it to restart the Gavin as an in-district charter school under UP management and with BPS oversight, meaning that UP negotiated an MOU with the district to ensure certain autonomies were granted, but the school remains a part of BPS. Launched in fall 2011, UAB is the first turnaround school operated and managed by UP. Of the students who ended SY 2010-11 at the Gavin who were eligible to enroll in UAB in SY 2011-12, approximately 90 percent re-enrolled. This is a higher re-enrollment rate than the 84 percent of Gavin

students who finished the SY 2009-10 at the school who returned for SY 2010-11. It operates in the same building as the former Gavin at 215 Dorchester Street, South Boston, MA, 02127. As of the 2014-15 academic year, UAB serves 468 students enrolled in grades six through eight. UAB will expand its number of seats by 12 percent in the 2015-16 academic year to serve 525 students in the same grade bands. The below indicates advanced/proficient (A/P) rates based on the MCAS for the past three years:

2012 MCAS: % A/P		UAB	Comparison School (John McCormack)	District (BPS)	State (MA)
Math	All students	47	33	41	59
	African American	40	30	30	35
	Hispanic	39	22	35	34
	Low income	46	30	35	38
	Non-low income	48	45	55	70
	Students w/ disabilities	15	8	13	21
	ELL/former ELL	44	29	35	32
ELA	All students	53	36	46	69
	African American	54	33	40	50
	Hispanic	49	26	39	45
	Low income	53	31	41	50
	Non-low income	60	52	62	81
	Students w/ disabilities	21	5	15	31
	ELL/former ELL	50	25	33	34

2013 MCAS: % A/P		UAB	Comparison School (John McCormack)	District (BPS)	State (MA)
Math	All students	61	30	42	61
	African American	57	22	30	39
	Hispanic	64	25	37	38

	Low income	62	29	37	41
	Non-low income	57	38	61	72
	Students w/ disabilities	35	3	13	23
	ELL/former ELL	57	25	35	35
ELA	All students	57	35	47	69
	African American	51	33	41	51
	Hispanic	59	25	40	45
	Low income	55	33	42	50
	Non-low income	49	43	66	80
	Students w/ disabilities	19	6	16	29
	ELL/former ELL	48	22	34	34

2014 MCAS: % A/P		UAB	Comparison School (John McCormack)	District (BPS)	State (MA)
Math	All students	61	33	44	60
	African American	54	26	32	39
	Hispanic	63	20	38	39
	Low income	61	32	39	41
	Non-low income	-	39	66	73
	Students w/ disabilities	37	7	16	23
	ELL/former ELL	57	27	37	35
ELA	All students	64	39	49	69
	African American	64	35	42	52
	Hispanic	59	28	41	47
	Low income	64	38	43	51
	Non-low income	-	49	72	81
	Students w/ disabilities	33	7	17	30
	ELL/former ELL	55	28	35	36

SY 2014-15 (%)	UAB	Comparison School (John McCormack)	District (BPS)	State (MA)
Student attendance rate	93.9	92.3	92.1	94.9
Student retention rate	8.3	2.3	4.8	1.6

After two years of successful management of UAB, UP was invited by BPS to turn around the John Marshall Elementary School, which had consistently performed among the lowest 20 percent of elementary schools in the district. In fall 2013, UP launched UAD as a K-5 school in the same building as the former Marshall at 35 Westville Street, Dorchester, MA, 02124. Of the students who ended SY 2012-13 at the Marshall who were eligible to enroll in UAD in SY 2013-14, approximately 85 percent re-enrolled; this is a significantly higher re-enrollment rate than the 76 percent of Marshall students who returned to the Marshall between the end of SY 2010-11 and SY 2011-12. UAD expanded to include grade 6 in fall 2014 to serve 625 students. The school will add two additional grade levels over the next two years to reach its full capacity as a K-8 school by fall 2016. Below are UAD’s standardized test scores for its first year in operation:

2014 MCAS: % A/P		UAD	Comparison School (Mattahunt)	District (BPS)	State (MA)
Math	All students	60	18	44	60
	African American	57	16	32	39
	Hispanic	61	24	38	39
	Low income	60	16	39	41
	Non-low income		37	66	73
	Students w/ disabilities	29	5	16	23
	ELL/former	58	14	37	35

	ELL				
ELA	All students	40	10	49	69
	African American	42	9	42	52
	Hispanic	37	13	41	47
	Low income	40	9	43	51
	Non-low income		16	72	81
	Students w/ disabilities	12	5	17	30
	ELL/former ELL	39	9	35	36

SY 2014-15 (%)	UAD	Comparison School (Mattahunt)	District (BPS)	State (MA)
Student attendance rate	93.2	91.9	92.1	94.9
Student retention rate	2.2	2.7	4.8	1.6

ABSOLUTE PRIORITY 2

Per data from Massachusetts ESE, at least 60 percent of all students in the charter schools we currently operate and manage are individuals from low-income families. ESE defines low-income as “Indicates the percent of enrollment who meet ANY ONE of the following definitions of Low-income: the student is eligible for free or reduced price lunch; or the student receives Transitional Aid to Families benefits; or the student is eligible for food stamps.” Note that ESE data is not yet available for the 2014-15 school year; low-income data listed is for the 2013-14 school year.

Population (%)	UAB	UAD
Low-income	100.0	94.4

COMPETITIVE PREFERENCE PRIORITIES

School Improvement: Competitive Preference Priority (1)(b)

UP is committed to serving historically underserved communities. Given our mission to turn around struggling schools, we rely on the following criteria to help ensure that we are serving our target populations:

1. Interest by local school districts in collaborating with external partners to eliminate struggling schools that often strain a community's resources and have a high probability of being identified for improvement, corrective action, closure, or restructuring by Massachusetts ESE.
2. Clear record of under- or low-performance by an existing district school; specifically, schools that are identified by their respective districts as within the lowest 20% of schools.
3. Significant sub-populations of low-income students, students with disabilities, and English language learners.
4. Interest by families and other community members for high-quality, college preparatory public schools.

See Section (c) for details on our school restart model, and how this model is designed to assist local school districts.

Promoting Diversity: Competitive Preference Priority 2

When an UP Academy is launched, we actively endeavor to re-enroll the same students that would have otherwise attended the struggling school, including those students with disabilities and who are English language learners (ELL). The composition of UAB and UAD reflect the historic enrollment patterns of their predecessors and serve these sub-populations at comparable rates at which students are served in public schools in the surrounding area. Below are demographics as of the 2014-15 school year:

Population (%)	UAB	Comparable School (John McCormack)	UAD	Comparable School (Mattahunt)	District (BPS)	State (MA)
Low-income	100.0	93.3	94.4	86.1	80.6	39.0
ELLs	24.4	32.9	22.4	25.4	29.8	8.5
Students w/ disabilities	22.2	26.5	17.4	18.6	19.5	17.1
African American	49.8	34.9	54.9	70.4	33.6	8.7
Hispanic	34.0	45.5	38.2	24.1	40.9	17.9

Aligned with our core value of creating a diverse and inclusive environment for all learners, our schools promote student diversity and tolerance to prevent racial isolation, as well as to prioritize four broad categories of outcomes that have been associated with school racial/ethnic diversity: enhanced learning, long-term educational and occupational gains, increased social interaction, and improved attitudes and citizenship.² In reaction to the tragic spate of racially motivated crimes afflicting the Ferguson, New York City, Baltimore, and Charleston communities, our staff dedicated several lessons this past academic year to the power of civil disobedience and non-violent resistance focusing on Mahatma Gandhi. Our educators have also participated in BPS's 10 Boys Initiative Program for a panel discussion on the Ferguson-Michael Brown and New York City-Eric Garner cases, and the process for engaging our young men in a meaningful dialogue on the multiple aspects of these cases. In addition, we seek to engage our students in broader events hosted by community organizations that heighten our students' development as responsible citizen-scholars. For example, for the past several years, students and teachers of UP Academies have participated in the Louis D. Brown Peace Institute Mother's Day Walk for Peace, an annual fundraising walk to support families as they cope with the grief and loss of children to violence.

Novice Applicant: Competitive Preference Priority 3

UP qualifies as a novice applicant for the purposes of this competition. Addressing the criteria outlined in the application, UP (i) has never received a Replication and Expansion grant; (ii) has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a Replication and Expansion grant; and (iii) has not had an active discretionary grant from the Federal government in the five years before July 15, 2015 (the deadline date for applications for new awards under this Replication and Expansion grant competition).

SELECTION CRITERIA

(a) Quality of the Eligible Applicant

UP has demonstrated consistent success in significantly increasing academic achievement and attainment for all students. See pages 4-6 for detailed MCAS results. UP analyzes a school's academic health both in terms of proficiency rates, a measure of absolute student achievement, and student growth percentile (SGP), a measure of student progress. In Massachusetts, each student in grades 4 through 8 with at least two consecutive years of MCAS scores receives an SGP, which gauges how much the student gained from one year to the next relative to other students statewide with similar MCAS test score histories. SGPs range from 1 to 99, where higher numbers represent relatively higher growth and lower numbers represent relatively lower growth.

At UAB, A/P rates in ELA increased by 31 percentage points (from 33% in 2011 when the school was the Gavin to 64% in 2014 when the school had been operating as UAB for three years) and in math by 35 percentage points (from 25% in 2011 to 60% in 2014). Simultaneous to the proficiency increases, the median SGP in ELA increased from

41 to 70 and in math from 52 to 88. In fact, since UAB’s founding in 2011, students have achieved the #1 academic growth (median SGP) in math of all 500+ public schools serving students in middle school grades for three consecutive years, an unprecedented accomplishment. The Massachusetts ESE named UAB to its 2014 list of Schools Commended for High Progress and Narrowing Proficiency Gaps.

A similarly promising trend is apparent in the scores for UAD. Among public schools serving more than 50 students, UAD had the highest one-year increase in math and ELA MCAS proficiency in Massachusetts’ history (+73 percentage points). A/P rates in ELA increased from 14% in 2013 when the school was managed as the Marshall, to 40% in 2014 in 2014 when the school had completed its first year of management under UP; the ELA SGP increased from 48 to 82. In math, A/P rates increased from 13% in 2013 to 60% in 2014; this 47-point jump is the single largest gain on record of any Massachusetts school. In addition, UAD ranked #1 among all elementary, middle, and high schools in Massachusetts (1,565 in 2013-14) for academic growth in math (median SGP increased from 52 to 94). At the elementary school level, fifth grade students are also tested in science, and A/P rates increased by 53%, from just 4% in 2013 to 57% in 2014.

MCAS Results	Pre-UP	Under UP Management		
UAB	2011	2012	2013	2014
ELA				
% A/P	33	53	54	64
Median SGP	41	71	56	70
SGP Rank in State	338/486	7/482	112/482	15/482
Math				
% A/P	25	47	61	60
Median SGP	52	86	85	88
SGP Rank in State	202/486	1/490	1/485	1/482

MCAS Results	Pre-UP	Under UP Management		
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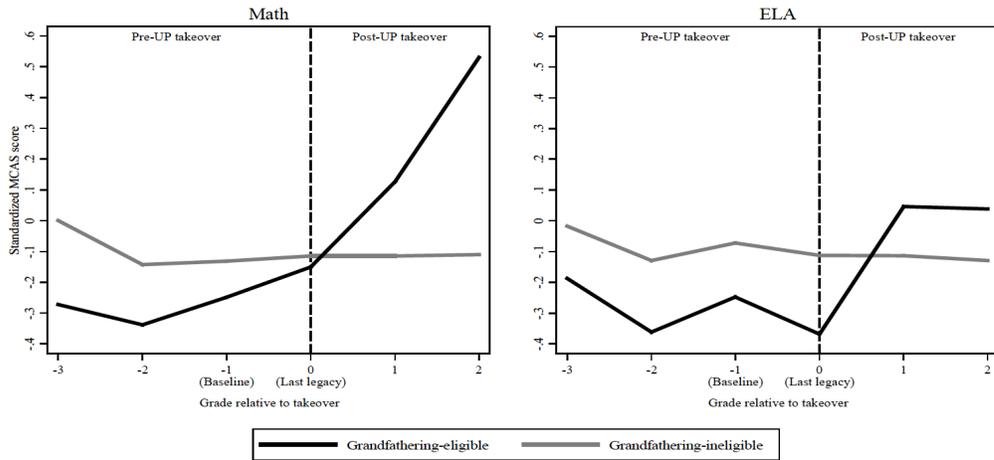
UAD	2013	2014
ELA		
% A/P	14	40
Median SGP	48	82
SGP Rank in State	647/1023	6/1008
Math		
% A/P	13	60
Median SGP	52	94
SGP Rank in State	603/1025	1/1008

Note that the first graduating class of UAB is set to finish high school at the end of the 2016-17 school year, and the first graduating class of UAD is expected to finish high school at the end of the 2020-21 school year. We will begin reporting high school graduation rates at these respective times, although we anticipate a direct correlation in increased grade level proficiency and increased high school graduation rates.

Evidence of Promise: Turnaround Gains Supported by Independent MIT Study

In March 2015, the Massachusetts Institute of Technology (MIT)’s School Effectiveness & Inequality Initiative (SEII) released a study titled “Charters Without Lotteries: Testing Takeovers in New Orleans and Boston” evaluating the impact of attending takeover schools. (Takeovers are traditional public schools that close and then re-open as charter schools. Students enrolled in schools designated for closure are eligible for “grandfathering” into the new schools; that is, they are guaranteed seats.) Led by MIT SEII’s Director Joshua Angrist, the study reveals the impact of attending UAB during its first two years of operation. Angrist and his team found that UAB had a very large impact in both gains in math and ELA. They describe the impact as “rarely seen in research on school reform” and “exceptionally large.” Below is a snapshot of their findings; the figures plot the average MCAS test scores of students in the 6th grade of the Gavin vs. UAB, as well as students matched to those students by race, gender, and special education status.

Figure 4a: Test scores in the UP grandfathering sample



Accelerating Growth for Low-Income and Minority Students

Historically, certain sub-populations of students in Massachusetts have not had the same level of academic achievement as their peers, as quantified by standardized test scores. For example, while 73% of non-low income and 66% of white students in Massachusetts scored A/P in math on the 2014 MCAS, only 41% of low income, 39% of African American, and 39% of Hispanic students statewide scored A/P in math. UAB students, though, are performing at significantly higher levels: 61% of low income, 54% of African American, and 63% of Hispanic students school-wide scored A/P in math. The results for the past three years have showed steady and consistent improvement; achievement data by targeted subgroups are as follows:

MCAS Results: % A/P	Pre-UP	Under UP Management		
UAB	2011	2012	2013	2014
ELA				
Low Income	32	53	55	64
African American	33	54	50	63
Hispanic	32	49	59	59
Math				
Low Income	25	46	61	61
African American	23	47	58	55
Hispanic	22	42	64	62

MCAS Results: % A/P	Pre-UP	Under UP Management
UAD	2013	2014
ELA		
Low Income	13	40
African American	14	42
Hispanic	12	37
Math		
Low Income	12	60
African American	12	57
Hispanic	12	61

Pages 3-6 illustrate that UAB and UAD students are significantly above the average academic achievement results for such students in the State.

(b) Contribution in Assisting Educationally Disadvantaged Students

See pages 32-36 on our prior success in improving educational achievement for students with disabilities and ELLs. UP ensures that all eligible students with disabilities receive a free appropriate public education by selecting to partner with communities based in part on clear academic needs of students in the community.

(c) Quality of the Project Design: Infrastructure

Application Requirements (a) and (n)

Massachusetts is known as a national leader in education, but the Commonwealth’s strong reputation masks deep disparities. In 2014, more than 14,200 students were enrolled in the state’s lowest performing and chronically underperforming early elementary, elementary, and middle schools. Of these students, roughly 80% attend schools in three cities: Boston, Lawrence, and Springfield. While we have been encouraged by the success at a small number of urban charter and district schools, we note that there are far too few of them to address the staggering achievement gap that exists today. Moreover, to date, the vast majority of high-quality charter management

organizations have shied away from district- and state-level opportunities to transform chronically underperforming schools.

UP aims to fill this urgent need and close Massachusetts's achievement gap at scale. As such, we are designed to nimbly take over low-performing district schools; completely redesign each school's academic programming, operations, and facilities; and achieve dramatic results with the same students who attended the previously struggling school. Under current Massachusetts's law, we have three options for turning around these schools (see pages 2-3), and this flexibility in the vehicle and logistics of school restart allows us to enter more markets than traditional school management organizations.

Mission and Theory of Change

All UP Academies share the same mission: We will ensure that all UP scholars receive the knowledge, skills, and strength of character necessary to succeed on the path to college and to achieve their full potential. We strongly believe that we can and will achieve our mission if our schools successfully implement six Core Program Features:

1. **Relentlessly high and consistent academic and behavior expectations for all stakeholders**, including our students, our families, and our staff. Our expectations are explicitly taught and shared, meticulously enforced, and consistently supported by school-wide systems of incentives and consequences.
2. **Seamless and detailed operating procedures**. Our operating systems are wide-reaching, encompass every imaginable aspect of school operations, and are implemented with unyielding attention to detail. All routines are modeled for and practiced by the appropriate constituents at the beginning of each year and regularly reinforced thereafter.

3. **Rigorous, standards-based curriculum, instruction, and assessments.** Our educational program is designed to help students build a strong foundation of core content and skills by the 8th grade, and simultaneously prepare them for the intellectual demands of rigorous college preparatory high school programs.
4. **A wide-reaching network of supports for all students.** Our schools employ an extensive network of whole-school and individualized supports to catch struggling students before they fall behind. When faced with a student who is not finding success in our program, we identify the underlying skill deficiency and provide systematic supports to address the issue.
5. **An obsession with regularly and effectively using data.** We analyze academic assessment data to understand which concepts students have and have not mastered, using this analysis to build tutoring plans and to make adjustments to our program. Data detailing student performance on non-academic goals permeates the school and drives individual and school-wide improvements.
6. **At atmosphere of enthusiasm and joy.** Our program is designed to ensure teaching and learning is exciting and fun.

Organizational Design

Our schools are organized around helping teachers to execute rigorous curriculum and instruction. Each UP Academy is co-led by a principal, who is responsible for implementing the school's academic and cultural vision and managing the school's deans; and a director of operations (DOO), who is responsible for managing key non-academic aspects of running a school, like facilities, technology, finance, systems management, and transitions between classes. Joining the Principal and DOO on the

school's leadership team are Deans of Curriculum and Instruction (DCIs) who are the primary managers of teachers, and who are responsible for managing teachers within a content area (e.g., math and science) or within a grade span (e.g., grades K1-2); a Dean of Students who is responsible for providing support to teachers on managing student behavior and promoting a positive culture throughout the building; and, in our largest schools, a Dean of Student Supports / Special Education who is focused on managing our special education and/or ELL teachers.

Grade Levels. We seek to prove that our scholars graduate from UP Academies with the core skills they need to set them on the path to college, running middle schools and combined elementary/middle schools that end in 8th grade. We will track our students through high school and college, and we will collaborate with external researchers to evaluate our impact on graduation rates, continually assessing whether it becomes necessary to provide additional support beyond 8th grade. Given our team's current experiences in younger adolescent education, middle and elementary/middle schools are best suited to our strengths as an organization. We also firmly believe that solid elementary and middle school programming are a necessary component of a quality public education, and one that can significantly mold the mindset of our students to become committed, lifelong learners. We intend to continue prioritizing schools that end in 8th grade through the 2019-20 school year.

Governance. As previously shared, both UAB and UAD are Horace Mann charter schools and therefore are governed by a board of trustees in accordance with state law. We currently have one school-level board of directors in Boston that oversees both UAB and UAD. The Horace Mann charter has a clear legal framework in other regards, too,

making it relatively straightforward to operate. As Horace Mann charters are their own LEAs, we can run procurement, receive direct federal grants, operate a bank account, and manage compliance independently.

School Launch / Turnaround Process

Broadly speaking, UP undertakes two primary objectives: (1) to support the launch of new restart schools and (2) to manage and support our existing restart schools as they sustain high achievement. Our school launch work has three primary components: establishing the conditions for growth through advocacy, developing our future school leaders through a residency program, and getting ready for Day 1 through our comprehensive school launch process.

As a resource to families and local school districts, we believe in actively building trust in our communities through community engagement and advocacy. Our school model relies on the Principal to be the primary academic and cultural change agent in their school, and our leadership pipeline must therefore be prepared to support the opening of two to four schools per year.

Advocacy. As a school turnaround organization, we have the obligation to ensure that more children have access to schools like UP Academy. To achieve this goal, it is imperative that we help elected officials and the community at large understand that UP Academies are a smart and sustainable solution to transforming struggling district schools. Advocacy will allow us to create opportunities to let parents know that we are listening and that we will build strong bonds within the community based on trust and mutual respect. The goals of our advocacy work are to: (1) build support within the cities of Boston and Springfield to restart additional chronically underperforming schools as

UP Academies in fall 2016 and beyond; and (2) ensure that our new and existing schools have a framework for long-term success.

Residency. UP has developed a Leaders in Residence (LIR) program designed to develop high-performing school leaders with either an instructional or operational focus for our launch schools and to replace transitioning leaders in our existing schools. Our program endeavors to expedite the leadership learning curve so that our school leaders can successfully effect change in their first year of turnaround.

The Principal in Residency (PIR) is a two-year leadership development experience analogous to an excellent graduate school program. In Year 1, PIRs work as DCIs or Deans of Students in UP Academies. During this year, the resident fully participates as a school leader, with the school primarily paying for their salary. This authentic school leadership experience is supplemented with leadership development programming curated by the Network Office. In Year 2, PIRs prepare to either launch a new UP Academy or transition into an existing principal role in the Network. The Director of Operations in Residency (DIR) is a one-year leadership with the first half focused on school immersion and professional development, and the second half focused on founding a new UP school. Throughout the year, the DIR will provide additional capacity at a school while taking on additional DOO preparatory responsibilities.

School Launch. UP engages in whole-school restart, taking on existing district schools that have been identified by the state and/or the local school district as underperforming. While we keep the same students, the same physical school, and remain within the same district, we do change almost all other aspects of the school to match our school model.

Restart requires an adaptable school model, one that does not conform to the traditional charter school model of growing by a fixed number of seats per grade, grade-by-grade. We may take on a school that has 125 students in the fifth grade and 73 students in the fourth grade. One school may have 40% ELLs, while another school may have a large strand of students with disabilities who require specialized expertise to support. We may operate in one district that receives \$10,500 per pupil, and another district that receives \$16,000 per pupil. In each of these cases, we will need to adapt our model to meet the unique needs of the underperforming school's existing student population. While our model is adaptable relative to typical Commonwealth charter schools, we do have a strong set of standardized components that are very different from the typical practices of a district school.

UP systematically and comprehensively integrates the characteristics of the highest-performing urban schools into the schools it restarts to ensure that students are able to achieve rapid gains. UP does not select which schools it turns around; rather, a local school district or the state will identify and determine which school it would like UP to restart based on a given school's record of chronic underperformance. UP therefore typically does not know the identity of a school until roughly nine to twelve months before it is asked to operate a school. In support of each turnaround, UP's Network Office provides essential services, as outlined below.

Pre-Turnaround Management: Year 0. Defined as the 12 months before an UP Academy's launch, the pre-turnaround phase is a unique situation that most charter management organizations do not face as most charter schools are started as brand-new schools of just a few grades, with schools ramping up over time. UP, though, is

committed to inheriting fully enrolled schools that sometimes even grow beyond what its predecessor served (as in the case of UAD). This pre-turnaround period requires a significant investment in time, Network Office resources, and money, particularly as at this stage we do not qualify for public per-pupil funding.

In the summer of Year 0, we submit the RFP and/or application to the local school district or state. Beginning in the fall and running through the winter of Year 0, we learn the identity of the school that we will manage, once pinpointed by the district; in cooperation with the district, announce the turnaround initiative publicly; and deploy to the community to learn about it and to begin managing community relations. Beginning in the winter and running through the spring of Year 0, we evaluate the existing school faculty and communicate that existing staff are welcome to apply for roles within the to-be-launched UP Academy; evaluate and make capital improvements to the facility; recruit and hire a virtually all-new school faculty; secure contracts with service providers; revise UP's systems to best fit the needs of our new school site; and complete home visits, parent information sessions, and participate in local community events. In the summer immediately prior to the beginning of Year 1, we meet with students in small groups to begin school culture orientation and complete diagnostic testing; host intensive training and orientation for all staff faculty; and begin more detailed orientation of families to UP Academy, lasting through the start of the school year. These activities represent a \$1,000,000 gap per newly launched UP Academy that, although is hard to raise and for which we seek CSP funding for, is essential to fueling the school's long-term sustainability (see pages 46-48 on our financial model).

We fundamentally believe that the success of our turnaround charter schools is driven by our strong school model and our exceptional talent, and we recognize that the UP Model faces six significant challenges unique to the turnaround context which must be strategically addressed.

Challenge	Why this isn't applicable to the standard start-up charter school	Why this is critical to turnaround	UP's strategy
Culture: reversing a toxic school culture into a culture of achievement	As brand new schools whose first enrolled class is chosen by lottery, a culture can be built through student orientation sessions starting on Day 1.	A strong and positive school culture is necessary for high levels of student achievement. The cultures in most underperforming schools have been lacking for years.	In addition to a culture orientation that spans 10 days at the start of the school year, UP facilitates mandatory culture sessions with small groups of students during the summer preceding our management.
Community: gaining family support	As charter schools are lottery-based, they are schools of choice starting from Year 1. Parents who have enrolled their children in a charter school are typically supportive of its mission and approach.	As turnaround schools who inherit all students of the former struggling school, Horace Mann charter UP Academies are not lottery-based and therefore not schools of choice in Year 1. This requires concentrated and increased efforts to gain family alignment.	We deploy the to-be-launched school's co-leaders and full-time community and family relations liaisons who visit every student's family before the start of the school year. This is a time for UP to explain our philosophy and expectations before our doors open to students.
Capacity: effectively managing a large school	Most charter schools open with fewer than 100 students and increase enrollment one grade level at a	UP Academies take over fully enrolled schools with 400+ students from Day 1.	We break large schools into small, distinct learning clusters during our first year of each turnaround, thereby

	time.		essentially starting several small schools at once.
Curriculum: evolving grade-level curricula	Once developed, charter school curricula need only be modified slightly year-to-year, as grade-specific skill levels are typically consistent over time.	The students' baseline of skills varies significantly from one restart school to the next. We therefore find that we must adjust our grade-level curricula annually to continue to progress students towards grade level proficiency while balancing shifting baselines.	We create flexible lesson plans that allow for rapid student skill gains so that teachers can allocate their time appropriately according to the needs of their students.
Categorical Aid: serving exceptionally high-need students with disabilities	Often, parents of exceptionally high-need special education students will shy away from enrolling their children in highly rigorous charter schools.	Given that UP Academies serve all existing students in each turnaround school, we must find ways to effectively serve the highest-need students.	We allocate significant resources to support high-need students with disabilities. We place a Dean of Student Support in every school who is supported by our Network Office-level Director of Special Education.
Construction: improving the facility	Though new charter schools do face facility challenges, such schools often rent temporary space until they can purchase a long-term facility with accumulated funds and capital.	We are committed to serving the same students in the same school buildings, which have often suffered from years of under-investment.	We partner with school districts to secure grant funding for facility improvements and pledge to upgrade each facility during a school's first year of turnaround operation.

Turnaround Management: Years 1-3. We directly and aggressively manage all aspects of each of our turnaround schools. We believe this hands-on approach is necessary to ensuring that all aspects of a school's operations conform to and meet UP

standards. We consider school management to include the: recruiting, hiring, training, and evaluating of the school leader; recruiting, hiring, and training of all administrators and teachers; and managing a school’s facility, operations, and technology. See pages 41-45 for Network Office support roles and responsibilities.

Long-Term Management: Years 4+. UP remains the manager and operator of UP Academies, helping to ensure that gains that have been made during Years 1-3 are sustained and built upon over time.

Growth Projections

The successful launches of UAB and UAD, as well as our network’s other three restarted schools, have inspired UP to expand its elementary and middle school programming to additional schools and communities across the state. Below is a projection of enrollment figures over the upcoming school years:

	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
# Schools, New	0	2	3	4	4	2
# Schools, Expanded ³	2	1	0	0	0	0
# Schools, Charter	2	4	5	6	7	8
# Schools, Total	5	7	10	14	18	20
Enrollment, New seats	0	1,000	1,500	2,000	2,000	1,000
Enrollment, Expanded seats	140	60	0	0	0	0
Enrollment, Charter seats	1,225	2,290	2,790	3,290	3,790	4,290
Enrollment, Total seats	2,640	3,500	4,700	6,350	8,000	10,000

We will only grow in cases where (1) we are meeting our internal annual goals; (2) we are able to secure the autonomies necessary to run our school model (see next section for more details on autonomies); (3) we have the internal capacity to grow responsibly given the complexity of the growth opportunities in the pipeline; and (4) the schools we are restarting are truly chronically underperforming. While we do not hold a strict definition of chronic underperformance, we do conduct a comprehensive review of publicly

available data to annually assess progress among the lowest performing schools in Massachusetts, including a review of ESE’s school performance levels. At a minimum, the schools should be performing at levels below what we would expect from a Year 1 UP Academy. We do this intentionally to ensure that low-performing schools have every opportunity to succeed before we partner with local school districts to intervene.

However, because we cannot know in advance which low-performing schools will improve and which will remain mired in chronic underperformance, growth planning is challenging. UP therefore maintains a flexible mindset as we plan for organizational growth. Based on a review of public data available as of November 2014, we can imagine the growth scenarios outlined below, projecting out to SY 2020-21.

Scenario	# Schools	# Students	Growth Summary
Strong focus on Western MA	20	10,000	7 schools in Springfield, 7 in Boston, 3 in Lawrence, 3 in Holyoke
New grade levels and districts	20	10,000	9 schools in Boston, 4 in Springfield, 4 in Lawrence, 3 in Worcester/other districts near Boston
Western MA + new grade levels	20	10,000	7 schools in Boston, 4 in Springfield, 4 in Lawrence, 5 in other districts
Enter a new state	18	8,000	7 schools in a new state, 5 in Boston, 3 in Springfield, 3 in Lawrence

Spotlight on Growth by SY 2016-17. We are presently engaged in discussions with BPS to expand our reach in the coming years. Scott Given, CEO and founder of UP, had been an active participant on incoming Superintendent Tommy Chang’s transition committee; Supt. Chang’s appointment became effective July 1, 2015. We are optimistic about our growth prospects in Boston as both Supt. Chang and Mayor Marty Walsh have expressed enthusiasm for BPS’ partnership with UP. Further, we are excited about our new partnership with the Springfield Public Schools (SPS) and the City of Springfield to establish our first UP Academy in Western Massachusetts. The state has approved UP to

convert a struggling district middle school into an UP Academy. The move was approved by a 9-1 vote on February 24, 2015 of the Massachusetts Board of Elementary and Secondary Education (BESE) following a positive recommendation by Mitchell Chester, commissioner of the Massachusetts ESE. On June 25, 2015, the Springfield School Committee unanimously voted to approve a Horace Mann charter school application so that an UP Academy will serve as the restart of a to-be-identified chronically low-performing district school.

Autonomies and Local Conditions

The road to restart is a challenging and lengthy one and as such, UP sets a very high bar from the inception of an UP Academy, particularly as it pertains to the autonomies and flexibilities we believe are imperative to rapid, whole-school transformation. Below is a matrix of autonomies and local conditions required to green-light restart:

TALENT			
	Ability to attract talent	Structural	Differentiator
	Hiring	Autonomy	Must have
	Job descriptions	Autonomy	Must have
	Timely district onboarding	District capacity	Differentiator
	Working conditions	Autonomy	Must have
	Evaluation	Autonomy	Must have
	Termination, including mid-year	Autonomy	Must have
ACADEMICS			
Schedule			
	Length of school day	Autonomy	Must have
	Length of school year	Autonomy	Must have
	School calendar alignment	Autonomy	Differentiator
Curriculum & Instruction			
	Content and design	Autonomy	Must have
Professional Development			
	Content and design	Autonomy	Must have
	Ability to have ½ day PD days	Autonomy	Must have
	Ability to have teachers start in August for orientation	Autonomy / District Capacity	Must have

Behavior			
	Student code of conduct	Autonomy	Must have
Special Education			
	Ability to hire (and be reimbursed for) related service providers	Autonomy / District Capacity	Must have
	Ability to hire (and be reimbursed for) 1:1 aids	Autonomy / District Capacity	Differentiator
	Final authority on IEP decisions	Autonomy / District Capacity	Must have
OPERATIONS			
Data			
	Ability to manage our own data systems independently	Autonomy	Must have
	Automated and secure daily exports of basic enrollment information	District capacity	Must have
Facilities			
	District support in renovating facilities before opening	District capacity	Differentiator
	Responsive ness to large-scale facilities needs	District capacity	Differentiator
	Optional district-provided custodial services and food services	District capacity	Differentiator
	Inherit existing furniture in school	District capacity	Differentiator
IT/Technology			
	Inherit existing technology in school	District capacity	Differentiator
	Sufficient bandwidth/wireless coverage	District capacity	Differentiator
	Either responsive district IT support or money to provide IT services	District capacity	Differentiator
FINANCE			
	Ability to operate sustainably in the long-term	District capacity	Must have
	Alignment to UP's standardized revenue model	District capacity	Differentiator
	Direct pass-through of per pupil revenue to schools	District capacity	Differentiator
	Teacher salary scale	District capacity	Differentiator
	Favorable ratio between per pupil revenue and teacher salaries	District capacity	Differentiator
	SRG funds, or comparable grants	District capacity	Must have
	Procurement (compliant with 30-B)	District capacity	Differentiator
	Ability to opt out of, and not pay for, certain district services	District capacity	Differentiator
	A school bank account	District capacity	Differentiator
	Capacity to pay teachers starting Aug. 1	District capacity	Must have
	Entitlement grant pass-through	District capacity	Differentiator

	Timely disbursement of funds	District capacity	Must have
IMPACT			
	Additional opportunities for local impact through growth	Structural	Differentiator
	Quality of high school options	Structural	Differentiator
	Neighborhood enrollment	Structural / Legal	Differentiator
COORDINATION			
	Weekly call with a high-capacity point person who reports directly to the Superintendent	Structural	Must have
	Distance from UP offices	Structural	Differentiator
POLITICAL			
	Support of community	Structural	Differentiator
	Support of Mayor	Structural	Differentiator
	Support of Superintendent	District capacity	Must have
	Support of state	Structural	Differentiator
	Support of local unions	Structural	Differentiator

(c) Quality of the Project Design: Curriculum & Instruction and Application

Requirement (d)

At the core of the UP Academy approach to curriculum and instruction is the belief that every student can succeed on the path to college, no matter the circumstances of their birth. To accomplish this mission, school leaders and faculty members must always reflect on the quality of curriculum design and instructional delivery so that it is challenging and engaging for all students. We believe that the most authentic student joy comes from accomplishing challenging academic goals; great instruction begins with a thoughtful and responsive planning process; all lessons should be designed to push the most challenging work onto students; data is the most important indicator of instructional quality; and faculty should take the achievement of their students personally.

Curriculum Design: Planning Purposefully

UP Academy utilizes “backwards design,” beginning the curriculum design process by clearly identifying what students will know, understand, or be able to do at the

end of a sequence of activities⁴. By designing each lesson around a teaching point connected to the UP Academy standards, teachers ensure that activities and assessments are always purposeful. Our approach to curriculum is supported by scholarly research, as described below.

School Schedule

To facilitate the goal of rapidly improving student achievement scores, UP Academies operate on a schedule that includes both a longer school day (eight hours vs. six and a half hours) and a longer school year (185 days vs. 180 days) than the traditional public school schedule. Research that investigates whether extended learning time (ELT) in school boosts student achievement varies, although according to non-profit Massachusetts 2020, schools participating in well-designed, well-implemented extended days saw “impressive increases in their proficiency rates across all grades in all three tested subjects [ELA, math, and science],”⁵ and that “ELT schools are providing their students with a robust, balanced schedule.”⁶

Mathematics. Every UP Academy student receives 400 minutes of math instruction, spread across eight class periods, per week throughout the full school year. This schedule lets students have access to a rigorous and challenging math curriculum that first centers on previously unlearned skills and then establishes the numeracy skills that allow for deeper exploration of higher-level math concepts.

For the past two decades, the National Council of Teachers of Mathematics (NCTM) has encouraged teachers to use classroom discourse in math class, citing five major reasons that talk is critical to teaching and learning: talk can reveal understanding and misunderstanding; talk supports robust learning by boosting memory; talk supports

deeper reasoning; talk supports language development; and talk supports development of social skills.⁷ We therefore believe in re-framing mathematics, traditionally described as “work” or “getting answers”, using verbs that more accurately describe what mathematics education can and should be about: exploring, investigating, and verifying⁸. In classrooms where math is suggested by these activities, we find that it is hard for students to be passive learners. Central to this approach is our ability to determine what is and is not a problem. As Marilyn Burns reflects, “a problem is a situation in which a person is seeking some goal and for which a suitable course of action is not immediately apparent. In the context of the mathematics curriculum, a problem is a situation requiring that mathematical skills, concepts, or processes be used to arrive at the goal.”⁹ A strategic goal of our middle school curriculum for the coming year is to continue to closely assess our work to ensure that we provide students with problem-solving situations rather than exercises that are more a function of repetitive application than new thinking.

Similarly, and as modeled by UAD, we take a cognitively guided instruction (CGI) approach to teaching math at the elementary level. CGI teachers work to create an environment where students see that a range of strategies are encouraged, expected, and celebrated, and this process begins with posing problems. As our teachers help students make sense of a problem, students learn to look for the mathematical relationships that are a part of the story and use them to get started on a solution. Thomas Carpenter et al. suggests five core principles for unpacking problems: focus on story comprehension; attend to the connection between the story and the mathematics; support each student’s participation and access; support students to learn how to unpack problems on their own; and avoid doing the mathematical work of solving the problem.¹⁰ Eliciting student

thinking in this context not only enhances the students' understanding, but helps prepare students to extend their mathematical ideas on their own, a key skill for academic success in high school and college, and beyond.

English Language Arts. Every UP Academy student receives 400 minutes of ELA instruction, spread across eight class periods, per week throughout the full school year. Four class periods (200 minutes) focus on reading instruction, while the other four class periods (200 minutes) focus on writing instruction. Our reading curriculum is supported by an independent reading program that requires all students to read for no less than 50 minutes per day, as well as by a daily after-school literacy program. Above all else, our reading and writing programs work together to ensure that every UP Academy student develops tremendous literacy skills. Our graduates must be prepared to read high school-level texts and write high school-level compositions as well as, if not better than, their peers. This long-term objective requires a strong ELA curriculum that ensures reading fluency, comprehension and analysis of fiction and non-fiction texts, strong writing abilities, and an expansive vocabulary. The experiences of education industry specialists, and by our own lead teachers, suggest that close reading is effective for developing students' habits. Close reading is an interaction between the reader and a text¹¹; it is about making careful observations and then interpretations of those observations of a text¹²; and it involves rereading a short portion of a text that helps the reader transfer ideas to the whole text¹³. We structure our instruction time to maximize the opportunities for authentic learning: that is, close reading/underlining and annotation of text, discussion of the text, and writing about the text informed by close reading, discussion, or annotation¹⁴. At the elementary school level, the curriculum includes the

reading and writing workshop model devised by the *Teachers College Reading and Writing Project* at Columbia University.

Science. Every UP Academy student receives 400 minutes of science instruction, spread across eight class periods in a given week, for one semester of the 6th grade year and for the entire 8th grade year. Our science curriculum focuses on helping students master core vocabulary and conceptual knowledge, and is supplemented by the application of principles in laboratory settings.

Social Studies. Every UP Academy student receives 400 minutes of social studies instruction, spread across eight class periods in a given week, for one semester of the 6th grade year and for the entire 7th grade year. The overarching goal of our social studies program is to develop literate, culturally aware citizens. Thus, our teachers will expect UP Academy students to master the key concepts and vocabulary detailed in the MA Frameworks, as well as to demonstrate critical skills such as analyzing primary sources, debating different points of view, and making cause-and-effect connections.

Physical Education and Health. All students will take this course no less than one time per week throughout the entire year. Our physical education and health program is designed to keep students active, fit, and healthy. The program will encompass classroom-based sessions as well as activities in the school's gymnasium and outdoors.

The Arts. Every student takes no less than one visual arts class and one music class per week in accordance with the core concept that drives the state's Art Frameworks: "In music and the visual arts, people express ideas and emotions that they cannot express in language alone. In order to understand the range and depth of the human imagination, one must have knowledge of the arts."¹⁵

High School Preparation. Preparing for a college-preparatory high school program can seem like a daunting task for many of UP Academy’s students. All eighth graders are required to take a high school preparation course once a week to help students understand the importance and value of attending high school. Students (and their families) will be led through the high school application process, will visit numerous high school campuses, and will be taught about the surest ways to make high school a stepping stone towards college enrollment, success, and graduation.

Enrichment. UP Academy’s program focuses relentlessly on the development of core academic skills. We balance the development of these skills with extracurricular activities aimed to help develop our students’ full breadth of interests, including athletics, theatre, dance, and international cultures, among others.

A 6th grade student’s sample weekly schedule is shown here:

		Monday	Tuesday	Wednesday	Thursday		Friday	
7:15-7:35	Arrival/Breakfast	Arrival/Breakfast	Arrival/Breakfast	Arrival/Breakfast	Arrival/Breakfast	7:15-7:35	Arrival	Arrival
7:35-7:50	AM HR	7:35-7:50	AM HR	AM HR				
7:50-8:40	Pd1	Math	Math	Math	Math	7:50-8:40	Pd1	Math
8:40-9:30	Pd2	Science	Science	Science	Science	8:40-9:30	Pd2	Science
9:30-9:45	AM Break	9:30-9:45	AM Break	AM Break				
9:45-10:35	Pd3	ELA	ELA	ELA	ELA	9:45-10:35	Pd3	ELA
10:35-11:05	Academic Intervention	10:35-11:05	Lunch	Lunch				
11:05-11:35	Lunch	Lunch	Lunch	Lunch	Lunch	11:05-12:05	ASPIRE	ASPIRE
11:35-12:25	Pd4	Math	Math	Physical Education	Math	12:05-12:15	Transition	Transition
12:25-1:15	Pd5	Science	Music	Science	Science	12:15-1:15	Enrich/Extension	Enrichment
1:15-1:30	PM Break	1:15-1:25	Dismissal	Dismissal				
1:30-2:20	Pd6	Visual Arts	ELA	ELA	ELA	1:25-2:15	Afterschool	Afterschool
2:20-2:30	PM HR	2:15-2:25	Late Dismissal	Late Dismissal				
2:30 - 3:15	Focus and Tutoring							
3:15-3:25	Dismissal	Dismissal	Dismissal	Dismissal	Dismissal			
3:25-4:15	Afterschool	Afterschool	Afterschool	Afterschool	Afterschool			
4:15-4:25	Late Dismissal							

(b) Contribution in Assisting Educationally Disadvantaged Students

ELL Supports

Every student at UP Academy will receive rigorous, high-quality, standards-based instruction, regardless of English Language Proficiency. In order to meet the needs of our ELL population, we will ensure that all teachers are qualified to implement effective instruction that allows students at all proficiency levels to access grade level curriculum while simultaneously building academic language skills. We will identify, educate and serve students and their families in the manner articulated in Massachusetts Department of Education's document, *Transitional Guidance on Identification, Assessment, Placement, and Reclassification of ELLs*, and we will base our program on scientifically based models, known to be effective, and in line with federal and state regulations regarding the education of public school students designated as ELL.

UP Academies will use a research-based program model of Sheltered English Instruction (SEI) to provide in-class supports to all ELL students in content classes. In addition, licensed ESL teachers will work with ELL students using a curriculum that is aligned with the WIDA ELD standards. This curriculum will address essential reading, writing, speaking, and listening skills, as well as facilitate the development of the English language across content areas. Student schedules are customized to the student's level of language acquisition.

All ELL students will receive sheltered content instruction within a content classroom. In accordance with the *Transitional Guidance on Identification, Assessment, Placement, and Reclassification of ELLs*, students at ELD levels 1-2 will be grouped together in content classrooms so that they can receive extra support in accessing sheltered content and building academic language. Students at ELD levels 3-5 will also

receive content instruction in classrooms from teachers who are SEI-endorsed.

Additionally, ESL services will be provided for the required number of minutes based on a student's ELD level, in a variety of settings. ESL instruction may be embedded into ELA class when the ELA teacher is also ESL certified, or an ESL teacher may provide this support through a push-in / co-teaching model or pullout model.

Supports for Students with Disabilities and Application Requirement (k)

Upon enrollment into an UP Academy, families will complete questionnaires to indicate if their child has received special education services or has been diagnosed as having a disability. We will use this questionnaire in addition to formal school records to determine whether a student already has an Individualized Education Program (IEP). Once students are enrolled in the school, special education teachers or the Dean of Student Support will communicate with families to discuss the IEP. We will implement existing IEPs and meet to revise IEPs as necessary throughout the school year.

At UP Academy, a Response to Intervention (RtI) framework is used for providing comprehensive support to students. We believe that rigorous implementation of RtI includes a combination of high quality, culturally and linguistically responsive instruction, assessment, and evidence-based intervention. UP Academy uses data to identify students at risk for poor learning outcomes, monitor student progress, provide evidence-based interventions, and adjust the intensity and nature of those interventions depending on a student's responsiveness. Within this system, there is a progression of support along three levels: Tier 1, Tier 2, and Tier 3. Tier 1 is implemented through programs already built into the school schedule, which are differentiated for individual student needs. Examples of Tier 1 interventions include universal screening and

individual teacher problem solving. Teacher cohorts implement Tier 2 for students they have identified as needing additional supports. If needed, teacher cohorts may choose to refer students to the RtI Team, who will build out Tier 3 interventions. As students move through the framework's specified levels of prevention, their instructional program becomes more intensive and more individualized to target their specific areas of learning or behavioral need.

The purpose of the RtI Team is to gather multiple data points on a struggling student, analyze the data to determine why a student is struggling and determine next steps in intervention. The RtI Team evaluates the student's classroom performance, strengths and challenges, and prescribes an intervention to address any obstacle(s) to academic success. Through this process, the RtI Team creates a comprehensive plan that includes strategies and structures for teachers and school staff. Over the course of three to six weeks, members of the RtI Team periodically observe the implementation of the plan and reconvene to evaluate its effectiveness. The RtI Team uses observation and assessment data to decide which strategies and interventions to continue, modify, and discontinue. The plan and all adjustments to it are documented. If the adjusted plan is effective, the RtI Team continues its ongoing monitoring, evaluation and adjustments.

If a student is not responsive to interventions in Tiers 1, 2, or 3, the RtI Team may initiate a referral for a special education evaluation. When an evaluation indicates evidence of a disability and that special education services are appropriate, an IEP team including the parents, a special educator, a general education teacher, related service providers and the student (if age appropriate) will develop an IEP for the student and agreed-upon special education services will be provided. All IEPs will be evaluated at

least annually and revised as needed by the IEP team. All students receiving special education services will be reevaluated at least once every three years.

Federal law guarantees every student the right to a free and appropriate public education regardless of handicap or disability. State law (CMR 28) further guarantees the right to an education in the “least restrictive environment”, which aligns with our belief that all students should have access to a rigorous curriculum and offer instruction in a continuum of settings. In order to meet the needs of students with disabilities, UP Academy offers instruction in general education classrooms, in small pullout groups, and in substantially separate classrooms. Inclusion of students with disabilities in general education classrooms has been found to be related to beneficial outcomes for both students with disabilities¹⁶ and their general education peers¹⁷. The program supports described above are helping UP scholars progress in their mastery of State academic content standards:

MCAS Results: % A/P	Pre-UP	Under UP Management		
UP Academy Charter School of Boston (UAB)	2011	2012	2013	2014
ELA				
Students with Disabilities	10	21	19	33
ELL	22	50	48	55
Math				
Students with Disabilities	6	18	35	37
ELL	25	46	58	58

MCAS Results: % A/P	Pre-UP	Under UP Management	
UP Academy Charter School of Dorchester (UAD)	2013	2014	
ELA			
Students with Disabilities	7	12	
ELL	17	39	
Math			
Students with Disabilities	7	29	
ELL	14	58	

Enrollment and Application Requirement (j)

As Horace Mann charter schools, UAB and UAD are tuition-free, public schools that are open to all students on a space-available basis. When recruiting or admitting students, UP Academy does not discriminate on the basis of race, color, national origin, creed, sex, gender identity, ethnicity, sexual orientation, mental or physical disability, age, ancestry, athletic performance, special need, proficiency in the English language or a foreign language, or academic achievement. M.G.L. c. 71, § 89; 603 CMR 1.06 (1). Moreover, we do not set enrollment requirements that are intended to discriminate or that have the effect of discriminating based upon any of these characteristics. Any vacancies will be filled according to our vacancies/backfilling policy.

Our mission of transforming underperforming district schools and desire to keep the same students affects our enrollment policy, as outlined below. As we launch additional Horace Mann charter schools, we intend to maintain the same admissions criteria and process.

Eligibility. UP Academy requires candidates for admission to apply for the grade immediately following their current grade, and for candidates to be residents of the respective city by the application deadline for the lottery in which their enrollment at UP Academy will be considered.

Priority. In accordance with M.G.L. c. 71, § 89; 603 CMR 1.06 (4)(h) enrollment in UP Academy will be conducted in the following order of preference based on the year of operation. For Year One, UP Academies prioritize (1) any student actually enrolled in the district-identified underperforming school on the date that the final charter application is

filed with the Massachusetts BESE; (2) siblings of students actually enrolled in the district-identified underperforming school on the date that the final charter application is filed with the Massachusetts BESE; (3) other students enrolled in the same local school district; and then (4) other students that are residents of the city (e.g., students enrolled in private schools, parochial schools, or Commonwealth charter schools). For Years Two and beyond, UP Academies prioritize (2), (3), and (4) above.

Application Completion. All eligible families must apply by submitting an easy and quick, information-based application, which is made available to families as of December 1 of each year (i.e., the application for the 2015-16 school year will be made available by December 1, 2014). All information requested in the application, such as language spoken at home, is not intended and will not be used to discriminate (603 CMR 1.06(2)). To ensure that all families have a just chance to apply, UP Academy will assist families throughout the application process, as needed. Assistance may include, but is not limited to, providing a straightforward application translated into multiple languages, answering applicants' questions via information sessions for interested families, requesting additional information when incomplete or illegible applications are submitted prior to the application deadline, and completing applications for families with information provided verbally either in-person or over the phone.

Community Outreach and Application Requirements (g) and (j). UP Academy has developed a comprehensive recruitment plan to provide information about the school to potential applicants and their families throughout the year. As a part of this plan, UP Academy hosts information sessions for applicants, including students with disabilities, ELLs, and other educationally disadvantaged students, and their families. Sessions are

approximately one to two hours in length and discuss the program and culture of the school. Our schools strive to make accommodations for all families, for example, by offering sessions at various times of the day and by providing both written and oral translations for families. Time is included for families to ask questions. This is an opportunity for families to participate in a school's planning process, and to express their concerns and hopes for UP Academy. Interested parents are encouraged to join the school's Site Council, which meets periodically throughout the school year to address and incorporate parent feedback on the school's program design.

Application and Enrollment Process. In accordance with ESE laws and regulations, UP Academy gives reasonable public notice, of at least one month, of all application deadlines (603 CMR 1.06 (3)). Dates are publicized via UP's website. Interested families will have the option to submit completed applications by mail, in-person, or by fax.

Public Lottery. UP Academy manages enrollment via public, non-weighted lotteries that are open, fair, and in accordance with the charter school statute and regulations.

Annually, each school defines the number of seats available for a given year by grade level. If the number of eligible applicants exceeds the number of available seats for a given year, UP Academy holds a public lottery shortly after its first application deadline. At least one-week notice will be given prior to each lottery. Immediately following the lottery, each eligible applicant will be assigned either a status of accepted or waitlisted. Whether or not the family is present at the lottery, the accepted or waitlisted student and his/her family will be sent a written letter within 48 hours, notifying them of their admissions status.

Culture and Family Engagement and Application Requirement (g)

Educators working in historically underserved communities are sometimes quick to implement the systems and practices of high-performing charter schools, believing that if they can duplicate those systems they can also duplicate high levels of achievement. These educators are often disappointed to find that creating compliance in their schools does not positively affect their achievement results. The heart of a great school cannot be easily replicated because the heart of a school is its culture. Even though a school's rules and procedures are habitually conflated with its culture, we believe that systems are merely a framework in which a school culture can develop. A successful school culture is steadily built, day-by-day, in every interaction between its teachers, students, and families. At UP Academy, we live and breathe specific mindsets that allow us to work as one unit that takes collective responsibility to ensure our students' success. We are not a "no excuses" school, but we do know and acknowledge the excuses that can impede student growth and achievement.

One way in which we get to know the excuses is through the adoption of a mindset where families are our fundamental partners; they must play an active role in helping our school fulfill its mission. In the year prior to opening the doors to UP Academy, our founding team begins the critical work of engaging families. Through three phone-a-thons, several rounds of home visits, information sessions held two times a month, and the formation of a school site council, we are able to effectively inform our future families of what they can and should expect from UP Academy.

After we open our doors to students, we continue to maintain multiple lines of communication with our families. Teachers are required to call home at least once every two weeks to keep parents informed of their child's progress and areas for improvement,

and we use robo-calls and backpack mailers to notify of upcoming events like back-to-school night; curriculum night; culture night; report card conferences; parent volunteer days with our partner organization, Boston Cares; Lemonade Day; field day; and pep rallies. In addition, we have a standing invitation for parents to observe classes at any time. The goal of all our communications is to enforce the understanding that UP Academy actively seeks to provide opportunities and more access to teachers throughout the course of the year.

(d)(1) Quality of the Management Plan and Personnel: Accomplishing Project Tasks and Application Requirement (b)

UP's Network Office organizes its functions around an externally facing CEO supported by an internally facing President. Aligned by function, UP's largest teams are its Operations, Talent, and Academic teams; UP anticipates retaining a functional, rather than regional, orientation through the 2019-20 academic year.

Academics. The purpose of the Academic Team is to support UP Academies in their progress towards the stated mission of college readiness for all students. The Academic Team is wholly accountable for the relative and absolute achievement of all UP Academy students, focusing on three functional responsibilities: (1) providing world-class training and development services to a select group of personnel in a narrow band of content areas; (2) providing exceptional assessments, tools, and resources to implement curriculum and instruction; and (3) providing compliance support. As UP does not prescribe a narrow instructional model for UP Academies to accept and follow blindly, the Academic Team will set the bar for academic performance across the network by designing and delivering high-quality formative assessments that will be linked to clear

data evaluation cycles and supported by targeted analytics. These assessments will be ‘live’ in the upcoming 2015-16 academic year. For more information on this initiative, see pages 58-59. Over the next five years, the Academic Team will design and support the implementation of network-wide offerings in computer science, fine arts, athletics, languages, and cultural programming. We will forge student character that increases access to the culture of power, and will purposefully set our students on the path to college attainment.

Operations. The Network Operations Team exists to improve the achievement of our schools by leading our schools through an operational transformation that embeds seamless and detailed operating systems into our schools, thereby enabling school staff to maximize the time focused on instruction and improving student achievement. As the chronic underperformance of a school is not limited exclusively to academic performance – as demonstrated by the quality of district services like IT support, maintenance, and capital planning, which can be distressingly low at the time of restart – when UP launches a new school, the Operations Team provides these critical services.

A centralized technology team provides IT support services, including break/fix, procurement support, infrastructure management, asset management, and email support to all school staff. This team also liaises with district technology support teams to advocate for improved technology infrastructure in our schools. A primary near-term goal of the technology team is to prepare all UP Academies to transition from the paper-based MCAS to the computer-based Partnership for Assessment for College and Careers (PARCC) by academic year 2016-17. It is imperative that our schools use the upcoming 2015-16 academic year to run infrastructure trials to validate that testing workstations

meet the minimum requirements needed to run the PARCC's software; evaluate bandwidth capacity for internet and proctor caching connections; and provide the necessary time for our teachers and students to acclimate to the new test delivery. Further, we intend to leverage the devices throughout the school year to assist with individualized and small-group instruction: computer-driven, adaptive learning activities will allow us to tailor lesson plans based on student learning levels and needs.

The facilities support provided the Network Office to schools includes ongoing procurement support, district management and coordination, management of any large-scale renovation projects, and the development of tools and templates to help DOOs improve the state of their school facility. Further, a centralized finance team provides back-office accounting, procurement, and budget development and management support to our schools. This support is tailored to the financial structure established in each district, which varies by governance structure. Some support services provided include: invoice processing, cashflow management, management of a centralized accounting system, development of systems and processes to ensure appropriate internal controls are in place, and the development of templates and processes to support school budget management. In addition, this team serves as the primary liaison to district finance and budget offices, and supervises annual audits.

The Operations Team also provides support to schools related to student recruitment and enrollment, which includes ensuring that schools are complying with all relevant state guidelines. UP also helps coordinate student enrollment with district offices; tracks student enrollment data to help monitor the extent to which we are meeting

our enrollment goals; and develops and disseminates systems and best practices to help schools meet their enrollment goals.

UP Academies rely heavily on the support of the Operations Team's data and analytics members, who help schools: (1) have reliable access to the data they need; (2) habitually analyze data in an efficient and accurate manner; and (3) take action to change behavior and plans on data.

Talent. UP's Talent Team recruits, develops, and retains diverse and industry-leading individuals with the ability to drive rapid transformation in our schools. The Talent Team provides several services to our schools. In terms of recruitment, UP manages the outreach and selection processes, building a pipeline of candidates through targeted outreach and progressing top candidates through the pipeline. Our recruiters also provide intensive school launch support, including training new hiring managers on hiring practices and advising the school's leadership team on staffing models and team composition. We have very specific and measurable goals as they relate to the staffing of our schools: by February 15th of every year, we aim for 25% of an UP Academy to be hired; 50% by March 31st; 75% by May 15th; and 90% by July 1st.

The talent-programming arm of our Talent Team implements employee evaluation and recommitment processes across our schools, and the district/labor relations vertical advises leaders on performance issues and talent policies. In addition, one of UP's top talent priorities is the development and implementation of diversity programming. A large step in achieving a more diverse and inclusive environment for our scholars, our families, our staff, and our communities will be taken this upcoming school year when we will implement a robust diversity and inclusivity scorecard. This scorecard

is aimed at measuring school and network office progress and performance in recruiting, hiring, training, supporting, promoting, and retaining a diverse group of employees.

(d)(2) Quality of the Management Plan and Personnel: Achieving Project Goals and Application Requirement (f)

UP's Network Office is the primary driver for improving, sustaining, and ensuring the quality and performance of its charter schools beyond the initial period of Federal funding. This past year UAB successfully transitioned from its three-year SIG funding to meet UP's definition of financially sustainable, meaning that all core operations of the school are covered by the same public dollar allocation as a peer school within BPS. This was a major milestone of accomplishment for both the school and the whole organization. Our next transition away from federal funding will take place in 2016-17 as UAD will be reaching its fourth year of operations. See "Financial Model: Selection Criteria (d)(3)" for details on our sustainability model.

During the 2014-15 academic year, UP completed a time study of Network Office employees to gauge the allocation of network resources to support schools as they transition from initial restart schools into more veteran UP Academies. As the network grows with the launch of new schools, we anticipate the network's leadership team structure to stay relatively constant through the 2020-21 school year, and the number and type of services provided will be similar. The primary difference in service provision will be the build-out of teams by adding additional resources under existing services. As our teams grow, we will introduce additional structure around our finance, academics, and strategy and analytics teams.

(d)(3) Quality of the Management Plan and Personnel: Financial Model and Application Requirements (c), (f), (h) and (i)

School Financial Strategy

UP is committed to operating our schools on the public dollar, without ongoing private fundraising to support core school activities. Our schools have no fixed formula for funding. This is in contrast to the Commonwealth charters, which are mandated by law to receive the full per pupil tuition that the district would have received for the student, plus a small facilities stipend and in-kind transportation. UP Academies receive Basic Education Program (BEP), Title I, i3, and School Improvement Grants (SIG). These funds are routed from the federal level through the state to our Horace Mann charters, which are LEAs. UP's financial team reports enrollment data for each LEA to ensure funds are allocated correctly, and ensures compliance, reporting, and submission of receipts for reimbursement. This team also partners with each school's co-leaders to develop a budget as part of their annual planning process. All public funds are used to sustain the core operating functions of the schools.

UP Academies receive rent-free facilities from our districts, while Commonwealth charters need to pay for their own facilities. However, the value of the facilities is less than the amount of money withheld by districts for unused services, and UP's schools receive meaningfully less funding than they would as Commonwealth charters. In addition, UP schools operate on union pay scales, while Commonwealth charters have the flexibility to set their own pay scales. The result is that our schools must manage their finances closely to remain balanced on the public dollar.

Service Fee Strategy

UP's Network Office charges a fee for services provided to our schools that historically has been calculated through a variety of formulas equivalent to roughly \$1,100 per pupil. UP is the process of moving toward a standard service fee that would apply to all schools in order to: (1) simplify that calculation of fees; (2) tie the fee to schools' ability to pay, such that the fee is lower in districts that receive less funding; and (3) lower the fee after year 3 of a given school's operation, when schools presumably require less support from the network office and when schools are typically transitioning off of large turnaround grants. UP conducted a review of the service fees at peer school management organizations, and found that a service fee of 8% of recurring school revenue plus 25% of startup revenue (i.e., School Redesign Grants and CSP Funds) would meet our criteria for an effective service fee, place us squarely in the middle of comparable organization fees, and will give the Network Office a path toward long-term sustainability.

Network Office Financial Strategy

UP's Network Office is funded through a combination of service fee revenue, public grants, and private fundraising. Our school launch activities are typically funded through private fundraising, as there is no existing mechanism to fund pre-launch activities through public grants. UP estimates that it costs \$1,500 per student in the pre-launch year to restart a school, and we are confident in our ability to raise funds for launch. Donors have the unique opportunity to make a one-time infusion of cash, after which the school will operate on the public dollar and the school will set students on the path to college. The social and economic returns are immense.

Our school support activities are currently funded through a combination of service fee revenue and private fundraising. In 2016, we anticipate that service fee revenue will cover approximately 40% of our school support activities, with the remainder coming from fundraising. By 2020, we anticipate that over 60% of school support activities will be funded through service fees. Our goal is that, as we scale, we will ultimately support 100% of school support activities through service fees. Please reference Appendix F: Network Office Budget for a five-year forecast.

Demonstrated Commitment of Current and Future Partners

Our school launch work would not be possible without the continued support of Strategic Grant Partners (SGP), a Boston-based foundation and pro bono consulting firm. SGP provided us with a multi-year \$1.9 million grant that helped us launch UAB and UAD. In June 2015, we secured a new grant for \$2.8 million to support our three-year strategic plan to launch additional UP Academies. In conjunction with this key partnership, UP has forged strong relationships with the Barr Foundation, The Boston Foundation, the Michael & Susan Dell Foundation, and the Smith Family Foundation.

UP represents a hybrid model for what is possible when external partners collaborate with local school districts, cities, and states to turnaround underperforming schools. We achieve this through the close collaboration with local school districts, and maintain meaningful, positive relationships with district employees across a variety of functions. Further, we have developed strong partnerships with education providers like the Boston Teacher Residency, MATCH Teacher Residency, the Sposato Graduate School of Education, and Teach For America - Massachusetts. We also team up with community organizations to provide enrichment and student support services to our

students, including the College Bound Dorchester, Family Nurturing Center (Dorchester CARES), Imagine That!, the Lewis D. Brown Peace Institute, and Playworks.

(d)(4) Quality of the Management Plan and Personnel: In the Event of Failure to Meet High Standards of Quality

As authorized by the Commonwealth of Massachusetts' Education Reform Act of 1993, charter schools operate under five-year charters granted by the Commonwealth's Board of Elementary and Secondary Education (BESE). BESE is required by Massachusetts General Law, Chapter 71, Section 89, and regulations under 603 CMR 1.00 to conduct an ongoing review of charter schools and, by the fifth year of each school's operation, decide whether those charters should be renewed. Throughout the charter term and during renewal, charter schools are held accountable to the Charter School Performance Criteria in the areas of faithfulness to the charter, academic program success, and organizational viability.

Should BESE vote its intent to non-renew, revoke, or suspend the charter of an UP Academy; or a vote by an UP Academy's board of trustees to voluntarily surrender its charter, the trustees of the school are responsible for ensuring the completion of the items listed in BESE's Closing Procedures in cooperation with the Massachusetts ESE. This includes but is not limited to closing school affairs; providing written notification regarding the impending closure to all students, parents, guardians, employees, debtors, creditors, landlords, lessors, and funding sources; submitting a student records transition plan; and taking appropriate action to terminate any contracts, leases, or obligations that extend beyond the closure date, including those related to summer instruction.

(d)(5) Quality of the Management Plan and Personnel: Qualifications of UP's

Leadership Team

The founder and current CEO of UP, Scott Given, is uniquely well positioned to take on the district school turnaround challenge and thereby fulfill an urgent, unmet need. A former strategy consultant and investment banker, Given has worked in education reform for more than a decade. After teaching for two years at Boston Collegiate Charter School, Given became Principal of Excel Academy Charter School in East Boston, MA, where from 2005-2008 he spearheaded one of the few successful public school turnarounds in recent U.S. educational history. He graduated *summa cum laude* from Dartmouth College and holds an MBA from Harvard Business School. Given has worked as an independent consultant for charter and district schools in 10 states; as an Entrepreneur in Residence at the Newark Charter School Fund; an Entrepreneur in Residence at NewSchools Venture Fund; and currently as a Broad Academy participant. Joining Given on UP's leadership team are:

- **Tim Nicolette, President:** Nicolette has worked in a variety of roles in strategy consulting, school district leadership, city government, and nonprofit management. At Boston Public Schools, he served most recently as Chief of Staff to the Superintendent and, prior to that, as the Deputy Chief Financial Officer. He was an Advisor to former Boston Mayor Tom Menino. Nicolette has worked as a strategy consultant with L.E.K. Consulting and led Inspire, a nonprofit consulting firm focused on serving education and youth development nonprofits. Nicolette received his B.A. from Columbia University and earned his M.B.A. from Harvard Business School.

- **Nicole Dorn, Chief Operating Officer:** Dorn worked as a consultant with Boston Consulting Group (BCG), where her work primarily focused on improving productivity in the financial services sector and developing education reform strategies for nonprofit and public sector clients. Prior to joining BCG, Dorn worked for the U.S. Department of Education as Deputy Director of the Advisory Committee on Student Financial Assistance. Dorn is an alumnus of Teach For America, teaching for three years in Baltimore. She received her B.A. from Harvard University, her M.A. in teaching from Johns Hopkins University, and her M.B.A. from Northwestern University.
- **Jamie Morrison, Chief Academic Officer:** Morrison began his education career teaching English and Social Studies in the New Orleans Recovery School District. From 2008-2010, he taught grades 5 through 8 at the James M. Singleton Charter School and New Orleans College Prep, both located in Central City. After relocating to Cambridge, Massachusetts, Jamie helped found Unlocking Potential (now UP Education Network) as an Academic Achievement Manager, designing the English and History curriculum for the launch of the network's first Horace Mann charter school, UP Academy Charter School of Boston. Morrison served as the school's Dean of Curriculum and Instruction for English and History in the school's first two years and moved into the position of principal on a permanent basis in the fall of 2013.
- **Victoria Criado, Chief Public Affairs Officer:** Criado recently stepped into her current role having joined UP Education Network in 2012 as Director of School Operations where she supported and managed the network's Directors of

Operations and Directors of Operations in Residence for almost three years. Prior to joining UP, she worked as a Program Examiner at the Office of Management & Budget in Washington, DC, where she oversaw a number of agencies and programs related to economic recovery and consumer protection. Earlier in her career, Criado worked as an Asst. Vice President at Deutsche Bank in New York, and in 2005 she co-founded the Border Film Project - an art collaborative that provided a pictorial account of immigration policy in the United States. Criado received her B.A. from Boston College and her M.P.P. from the Harvard Kennedy School of Government.

- **Sheri Leo, Chief Talent Officer:** Leo has spent her career working on issues of talent in education, at the classroom, school, district, and state levels. Prior to joining UP Education Network, she was a senior consultant and project director with American Institutes for Research, where she advised the state of Massachusetts and others on educator effectiveness policies including compensation, evaluation, training, and support. Prior to that, Leo served as Director of Teacher Effectiveness at Chicago Public Schools, where she led new teacher induction, teacher evaluation, National Board Certification, and a performance-based pay pilot. She is an alumna of Teach For America, teaching elementary school for three years in Washington, DC. Leo received her B.A. from Brown University, her M.A. in teaching from American University, and her M.P.P. from the University of Chicago.
- **Erin Walsh-Hagan, Director of School Leadership:** Prior to joining UP Education Network, Walsh-Hagan was Head of Lower School at Community Day

Charter Public School Prospect in Lawrence, Massachusetts, where she also served as Prospect's English Language Learning Coordinator and the Senior Head of Literacy for the CDCPS network. Prior to this, she served as a Special Education teacher and the Reading Specialist for Community Day. She has also worked as a Special Education teacher for Boston Public Schools. Walsh-Hagan earned her B.A. from Clark University and her M.S. Ed. in Language and Literacy in Special Education from Simmons College.

- **Kristen Linnenbank, Director of School Operations:** Linnenbank has a deep understanding of UP's operations as the Founding Director of Operations at UP Academy Charter School of Dorchester, a role she was prepared to step into having previously served as a Director of Operations in Residence at UP. Prior to joining UP, Linnenbank gained operational and technology experience as the Director of Operations & Systems at Jumpstart For Young Children. She is a *cum laude* graduate of Simmons College.

See Appendix A for full résumés.

(e) Quality of the Evaluation Plan and Application Requirement (a)

We define our success quantitatively, and we hold ourselves accountable to achieving our mission. Our performance management framework tracks our progress against the following goals on an annual basis.

Goals Tied to Our Mission

Prior to UP's management, the schools we are invited to restart typically have student proficiency rates of less than 25% in math and ELA, often times even in the low double-digits or single digits. Each UP school has established a series of ambitious

quantitative goals following their respective launches: 45% proficiency in both math and ELA after one year of UP management; 55% proficiency after two years; and 65% proficiency after three years, with a >70 median SGP every year. Leveraging a dual metric of both absolute student achievement (proficiency rates) and student progress (SGP), we are able to ensure that our students are rapidly learning the skills they need to succeed on the path to college. As standardized tests, whether administered by the MCAS or by the PARCC, are likely to evolve over time, we seek to hold ourselves accountable to a high bar of student learning through the utilization of our newly designed interim assessments. See pages 58-59 for details on this important initiative.

We believe a critical aspect of being a school turnaround operator is our ability to restart and transform schools into extraordinary schools that are financially sustainable. We strive for UP Academies to serve as proof points for other communities across the nation of what is possible when school management organizations partner with local school districts to eliminate struggling schools. As such, post-launch we expect our schools to operate without net subsidies from UP and without philanthropic funds supporting core school operations within the first three years of operation. We also believe that extraordinary schools can and should be able to both attract and retain mission-aligned talent, allowing for our network to accumulate significant institutional and instructional knowledge. We therefore seek to build a sustainable talent pipeline where at least 80% of our staff stays within our network from year to year.

Goals Tied to Our Students and Staff

The goal of an UP Academy is to create a learning environment conducive to active, positive, and meaningful student, family, and staff participation and engagement.

This type of atmosphere can only be created if all students, families, and staff are welcomed and supported at UP Academy. We commit to:

- Re-enrolling 90% of students who were enrolled at the school the previous school year, regardless of whether an UP Academy is in its first year or fifth year of operation. During a given school year, all schools will retain 92% of students enrolled in the school. More broadly, existing UP Academies will strive to mirror district enrollment patterns.
- Mirroring our schools' student demographics to the student demographics across the respective local district, including for low-income students, students with disabilities, and limited or formerly limited English proficient students.
- Recruiting and retaining staff that reflect the vision defined by our Diversity Statement. At a minimum, at each site and at each level, 33% of new hires will identify as people of color, 30% will identify as male, and 30% will speak a language that our students speak at home that is not English.

We evaluate our progress against our goals quarterly. Each year we review the organization's top priorities to ensure that they remain relevant. In the coming years, we may revise these goals as we learn more about the transition to PARCC assessments, build out more detailed performance management processes for our growth cycles, and improve our student and family surveys.

School-Developed Assessments

At UP Academy we believe in the power of assessment data as a critical part of closing the achievement gap. We work relentlessly to invest all stakeholders in the importance of using data to better understand our progress and to know what we need to

change in terms of our instructional and developmental approach. At UP Academy, we strongly believe in using various methods of assessment to gauge the extent of students' understanding in order to quickly adjust our instruction, make decisions about how best to use our time, and support students to meet our goals.

In order to help students achieve high levels of academic success, teachers employ a variety of assessment strategies and instruments to obtain timely, fair, accurate and constructive feedback on student knowledge, skills and performance. Part of a student's grade measures mastery of a course's content and skills. At UP Academy, we value the importance of both mastery of skills and student effort. That being said, it is essential for our students' success that we are able to isolate mastery of skills and content from effort in order to guide our teachers to design rigorous, well-aligned assessments. The following assessment types are developed by school instructional staff to measure academic success and inform academic instruction:

- **Exit Tickets:** Daily lesson assessments make it easy to identify students who are in need of extra content support, assess the quality of instruction of the day and inform instruction for the following day(s).
- **Quizzes:** Rather than relying solely on unit assessments that provide delayed feedback, English, math, history, and science teachers build learned skills and knowledge into short quizzes. Quizzes cover topics in a shorter time frame and are given at least once every two weeks. Quizzes let teachers assess standards or sub-skills that may not be assessed on interim assessments.
- **Culminating Tasks:** In order to meet the revised high-standards and instructional shifts of the Common Core, our schools require students to demonstrate a deep

mastery of content as well as conceptual understanding. Culminating tasks can include short-answer questions, open-response questions, writing prompts or performance-based tasks.

- **Unit Assessments:** Teachers also assess mastery of content through tests at the end of each unit, which measure mastery of the objectives contained in that unit. Unit tests can include multiple choice, short answer, and open response questions.
- **Final Exams:** The purpose of a final exam is to provide additional opportunities to show mastery on standards, assess recently learned material, and assess skills, sub-skills and knowledge that are not assessed on interim or state assessments. These assessments are especially crucial for students who did not master learning objectives when they were first presented. Teachers will administer final exams at the end of every course and final exams will be cumulative.
- **Performance/Project-Based Assessments:** There are instances when the traditional test format does not adequately assess a student's mastery of enduring understandings, a particular skill, or an authentic performance. When assessing students in a non-standardized way, it is important UP Academy teachers utilize rubrics with clear expectations. Rubrics are given to students in advance to make the final grades clearer and allow students to connect feedback with the final project and grade.

Approach for Measuring Student Attainment of Non-Academic Skills

In an effort to ensure the success of all students at UP Academy, we have a defined system of values and expectations. We believe that the rules of school are the rules of life: they promote appropriate behavior, create order and predictability in the

classroom, and encourage academic excellence. The following six components, marked by the acronym “ASPIRE”, make up the overarching expectations that all middle school students will be expected to uphold: Achievement, Scholarship, Perseverance, Integrity, Respect, and Enthusiasm. Our elementary school students are expected to adhere to the five components of the acronym “TIGER”: Teamwork, Integrity, Grit, Enthusiasm, and Respect.

UP Academy has developed a student ASPIRE/TIGER Report system to provide students, families, and teachers with a frequent, comprehensive report of student performance. A student’s weekly ASPIRE/TIGER Report total is impacted by his/her fulfillment of behavioral, academic, attendance, and school values expectations, and inter-class competition to encourage students to meet high expectations related to our school values. Students start each week (running from Friday morning to Thursday) with a score of 90. Students who drop below 70 for the week must serve Friday Extension instead of joining their normal enrichment programs. During Friday Extension, students work on reflection activities and character education activities in order to have a more successful experience and further internalize strong character traits and scholarly habits. Conversely, students who consistently exceed expectations and thus average above 100 points per week take part in school-wide incentives and celebrations of their character.

Standardized Assessment Tools

When considering what it means to instruct a course at UP Academy to a level that puts our students on the path to college, we consider the alignment of our benchmark assessments to the Common Core standards and the PARCC test. Historically, we have leveraged the interim assessment services of The Achievement Network (ANet). Starting

this upcoming 2015-16 school year, though, we will be shifting to administering internal benchmarks that will ultimately help us comprehend the accompanying shifts in curriculum and instruction necessary to match our vision for great teaching. We therefore are not looking to use the benchmarks to identify standards to re-teach; re-teaching should be identified through the review of truly formative data like exit tickets, homework, tests, and quizzes, as described in an earlier section. We aim to be able to ask and answer questions like: Were the teaching strategies employed this cycle effective? Who are the teachers who had success, and what are they doing differently from those teachers who may have struggled?

The assessment cycle will include three benchmark assessments and one PARCC practice exam, and all will be designed to be relatively hard. We do so with the intent of helping students take the PARCC test feeling that it is no different from the academic level of rigor they are familiar with. To balance the increased rigor, we will ask fewer questions than the ANet interims. We recognize that our data will therefore be noisier than the ANet interims and we will have less information on performance by standard, but our data will likely be a more valid assessment of student mastery. At the end of a data cycle, we will: develop a sophisticated understanding of student thinking by reading and analyzing student work; be able to identify the students, classrooms, grades, and subjects that are showing rigorous mastery of grade level standards; and be able to identify short- and long-term improvement strategies for the areas where we are not on track.

¹ Duncan, Arne. "Turning Around the Bottom Five Percent." June 2009. Speech.

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- ² Kurlaender, Michal. "The Benefits of Racial/Ethnic Diversity in Elementary and Secondary Education."
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- ⁴ Wiggins, G., & McTighe, J. *Understanding by design*. Alexandria, VA: Association for Supervision and Curriculum Development, 1998. Print.
- ⁵ Massachusetts 2020. "Massachusetts Extended Learning Time Initiative 2010-11 Update." http://www.mass2020.org/sites/default/files/2011_ma_update.pdf
- ⁶ Massachusetts 2020. "Massachusetts Extended Learning Time Initiative 2010-11 Update." http://www.mass2020.org/sites/default/files/2011_ma_update.pdf
- ⁷ Chapin, Suzanne H. et al. *Classroom Discussions in Math: A Teacher's Guide for using talk moves to support the Common Core and more*. Sausalito, CA: Scholastic, Inc. Print.
- ⁸ Van de Walle, John. *Elementary and Middle School Mathematics: Teaching Developmentally*. Boston: Pearson Education, Inc., 2007. Print.
- ⁹ Burns, Marilyn. *About Teaching Mathematics: A K-8 Resource*. Sausalito, CA: Math Solutions Publications, 2007. Print.
- ¹⁰ Carpenter, Thomas P. et al. *Children's Mathematics: Cognitively Guided Instruction*. Portsmouth, NH: Heinemann, 2015. Print.
- ¹¹ Fisher, Douglas. "Close Reading and the Common Core State Standards." Online video clip. *YouTube*, posted by McGraw-Hill Education, 3 April, 2012.
- ¹² Kain, Patricia. "How to Do a Close Reading." Writing Center at Harvard University, 1998. Web.
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- ¹⁴ Schmoker, Mike. *Focus: Elevating the Essentials to Radically Improve Student Learning*. Alexandria, VA: ASCD, 2011. Print.
- ¹⁵ <http://www.doe.mass.edu/frameworks/arts/1099.pdf>
- ¹⁶ Baker, E.T., Wang, M.C., and Walberg, H.J. "The Effects of Inclusion on Learning." *Educational Leadership*, December 1994/January 1995: 33-35. Print.
- ¹⁷ Salend, S.J., and Duhaney, L.G. "The Impact of Inclusion on Students With and Without Disabilities and Their Educators." *Remedial and Special Education*, March 1999: 114-127. Print.

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SCOTT R. GIVEN

EXPERIENCE

UP EDUCATION NETWORK

Boston, MA

Founder and Chief Executive Officer

January 2009 – Present

- Spearheaded the launch and early development of the organization in 2009-2010 by composing strategic plan, raising necessary start-up funding, and negotiating initial turnaround contract, among other activities
- Have led and overseen academic, operational, talent, and external relations functions of the organization since its formal founding in 2010
- UP Education Network is a nonprofit school management organization whose mission is to rapidly transform chronically underperforming district schools into extraordinary schools that sustain high achievement over time
- The fast-growing organization serves more than 2,500 students across five turnaround schools
- *In spring 2014, two of UP's schools were ranked #1 in mathematics student growth out of all public elementary schools and middle schools, respectively, in Massachusetts*
- *UP was named NewSchools Venture Fund's 2013 U.S. Education Reform Organization of the Year*

EXCEL ACADEMY CHARTER SCHOOL

East Boston, MA

Principal

July 2005 – July 2008

- Engineered transformation of struggling school into highest-performing public middle school in Massachusetts
- Restructured and subsequently oversaw all school policies and procedures, including but not limited to school operations, behavior and accountability systems, student support processes, and curriculum development and assessment tools
- Initially hired more than 20 staff members to comprise team for the 2005-06 school year, and thereafter co-led a rigorous hiring process to ensure top talent in every position at the school
- *School ranked as #1 highest-performing public middle school in Massachusetts in 2008, as measured by the percentage of students scoring at the Advanced or Proficient level on the MCAS (Math and ELA, Grades 6-8)*
- *School recognized as National Charter School of the Year in 2007*

BOSTON COLLEGIATE CHARTER SCHOOL

Dorchester, MA

Social Studies Teacher; Director of Athletics

August 2003 – June 2005

- Taught U.S. History, Economics, and Comparative Government to inner-city high school students
- Oversaw athletic program offerings for the school's nearly 400 students

THE PARTHENON GROUP

Boston, MA

Associate

Winter 2001; August 2002 – July 2003

- Conducted wide-ranging strategic and macroeconomic analysis as a member of case teams assisting global corporations, start-up firms, and education organizations

GOLDMAN, SACHS & COMPANY

New York, NY

Financial Analyst/Intern, Investment Banking – Bank Debt Portfolio Group

Summer 2001

- Performed valuation analysis, conducted due diligence, and interacted with senior management and capital markets personnel in conjunction with the execution of leveraged loan transactions

OFFICE OF U.S. REPRESENTATIVE EDWARD J. MARKEY

Washington, DC

Legislative Intern

Spring 2001

- Handled office duties ranging from constituent correspondence to extensive research on education legislation

EDUCATION

HARVARD BUSINESS SCHOOL

Boston, MA

Master of Business Administration

June 2010

First-Year Honors

DARTMOUTH COLLEGE

Hanover, NH

Bachelor of Arts

Major: Economics; Minor: Government

Grade Point Average: 3.84

Graduated *summa cum laude*

TIM NICOLETTE

Experience

- 2013 -- Present **UP EDUCATION NETWORK** **BOSTON, MA**
President (promoted from Chief Administrative Officer)
Manage network office day-to-day to provide high quality management and support to help achieve mission of “rapidly transforming chronically underperforming district schools into extraordinary schools that sustain high achievement over time.”
- 2010 – 2013 **BOSTON PUBLIC SCHOOLS** **BOSTON, MA**
Chief of Staff
Cabinet position in urban district with 57,000 students and nearly 8,500 employees. Primary day-to-day liaison managing relationships with 7 member School Committee. Worked closely with Superintendent and School Committee Chair to identify policies that will accelerate student achievement, and collaborate with senior district staff to develop strategies and plans to effectively implement policies. Planned and coordinated Cabinet and Executive Team meetings and oversee the Superintendent’s Office.
- 2009 – 2010 **Deputy Chief Financial Officer**
Supported Chief Financial Officer in developing and managing \$821M budget. Assisted Superintendent with special projects, including development of district’s 5 year strategic plan.
- 2008 - 2009 **CITY OF BOSTON** **BOSTON, MA**
Advisor to the Mayor Thomas M. Menino
Provided general policy advice to the Mayor and assisted in writing major speeches, including the State of the City address. Worked with Boston Public Schools Chief Financial Officer to identify cost savings and balance the district’s \$817M budget.
- Summer 2007 **DELL INC.** **AUSTIN, TX**
Sales & Marketing Intern
Designed and executed customer segmentation pilot project estimated to produce \$40M in incremental revenue.
- 2003 - 2006 **L.E.K. CONSULTING** **BOSTON, MA**
Associate Consultant (promoted from Associate)
A global strategy consulting firm with 900+ professionals and 20 offices worldwide. Launched primary research campaigns to assess market landscapes, competitive trends, and customer dynamics for clients ranging from leading retailers to airlines. Mastered secondary research sources and methods. Managed teams of 2-3 associates in market research and financial analysis.
- 2004-2006 **INSPIRE, INC.** **BOSTON, MA**
Board Member, Executive Director
A non-profit that provides pro bono consulting services to educational organizations and non-profits. Managed executive committee, led expansion to new offices in four cities, and increased total cases and active volunteers.
- 2002-2003 **INTERVARSITY CHRISTIAN FELLOWSHIP** **NEW YORK, NY**
Development Staff Worker at Columbia University
A national non-profit with 560 U.S. college chapters building student leadership in community service.
- Education**
- 2006-2008 **HARVARD BUSINESS SCHOOL** **BOSTON, MA**
Master in Business Administration.
- 1998-2002 **COLUMBIA UNIVERSITY** **NEW YORK, NY**
Bachelor of Arts degree, *magna cum laude*, in Philosophy, minor in Religion.



EXPERIENCE

UP EDUCATION NETWORK (BOSTON, MA)

JANUARY 2011 - PRESENT

Chief Operating and Financial Officer

- Member of the founding team of a school turnaround non-profit organization with five UP Academy schools, as of fall 2015 (three schools in Boston Public Schools; two schools in Lawrence Public Schools). One UP Academy school achieved the highest one-year increase in MCAS proficiency in state history and another has been the top middle school in the state for student growth on the Math MCAS for three years in row.
- Manage all aspects of operations and financial management for UP Education Network and its schools, which collectively have a total budget of \$42.5M. Developed a portfolio of centralized services provided to each school in exchange for a management fee, including the development of centralized finance and IT departments and the development of a facilities support function.
- Led the operational launch of five schools in three years, enabling UP to grow to serve approximately 2500 students across two school districts.
- Coordinate with state and school district personnel on various operational areas, including finance and school operations.
- Serve as primary risk management officer for the network. Have secured clean audits for all schools and the network for three straight years.
- Promoted to COO / CFO from Sr. Director of Operations in July 2013 and from Director of Operations to Sr. Director of Operations in July 2011.

THE BOSTON CONSULTING GROUP (BOSTON, MA)

2008-2010

Consultant

- Identified, quantified and developed implementation plans for multiple operations-related transformation initiatives for an international asset management company, including an initiative to reduce procurement costs by \$17M.
- Developed a 3-year business plan to close a projected \$1.35M funding gap for a statewide education non-profit.
- Helped coordinate the development of a mid-Atlantic state's winning application for the U.S. Department of Education's Race to the Top program, working in conjunction with the State Superintendent and Governor's office.
- Implemented a Lean operations program in a global asset management firm, leading to ~20% productivity improvements.

ADVISORY COMMITTEE ON STUDENT FINANCIAL ASSISTANCE (WASHINGTON, DC)

2003-2006

Deputy Director (promoted from Associate Staff Director in April 2005 and from Assistant Staff Director in January 2005)

- Managed an independent Congressional advisory committee that advises Congress and the Secretary of Education on financial aid policy and college access for low- and moderate-income students. Responsible for all aspects of government relations, and human resource management.
- Co-authored major Committee studies, including a quantitative and qualitative analysis of financial aid simplification mandated by Congress. Worked with Congressional staff to draft legislation related to Committee recommendations; 90% of proposals included in federal legislation.
- Prepared and delivered briefings to key clients, including members of Congress and their staffs.

BALTIMORE CITY PUBLIC SCHOOLS SYSTEM (BALTIMORE, MD)

2000-2003

Teacher, Social Studies Department, Frederick Douglass High School

- Selected as an Instructional Leader, 2002-2003. Worked with state administrators and teachers on implementing state standards. Helped organize a school-wide math campaign leading to a ~30% increase in achievement test passing rates.
- Recipient of a Baltimore City Council of PTAs Teacher of the Year Award, 2001-2002. Founded Student Government Association (SGA).

TEACH FOR AMERICA (BALTIMORE, MD)

2000-2003

Content Learning Team Leader, 2002-2003

- Developed and implemented a training program for a cohort of Teach For America corps members.

Corps Member, 2000-2002

- Selected to nationally acclaimed program that requires recent college graduates to teach for at least two years under-resourced public schools.

EDUCATION

KELLOGG SCHOOL OF MANAGEMENT, NORTHWESTERN UNIVERSITY (EVANSTON, IL)

2006-2008

Master of Business Administration degree, June 2008. Graduated with Honors and a 3.9 GPA.

- Recipient: Dean's Distinguished Service Award, Top Student Award for the Social Enterprise at Kellogg department.
- *Grohne Family Foundation Scholar*: One of two full-tuition, merit-based scholarships awarded per class.
- Elected president of Kellogg's Net Impact chapter, one of the largest clubs on campus with over 400 members.
- Co-chair, Education Industry Club. Completed consulting projects with Noble Network of Charter Schools and Chicago Public Schools (CPS).
- First place winner at the 2008 Education Leadership Case Competition, Haas School of Business.

JOHNS HOPKINS UNIVERSITY (BALTIMORE, MD)

2000-2002

Master of Arts in Teaching degree, June 2002

- Graduated with a 4.0 GPA. Received Maryland State Teacher Certification.

HARVARD UNIVERSITY (CAMBRIDGE, MA)

1994-1998

Bachelor of Arts degree in Social Studies, June 1998. Graduated *magna cum laude* with a 3.75 GPA.

- Awarded fellowship to conduct senior thesis research in South Africa. Successfully completed thesis on education policy reform during the transition to post-apartheid South Africa.

OTHER INFORMATION

- Worked in Trieste, Italy from 1998-2000 as the Librarian at the International School of Trieste. Conversant in Italian.
- Hobbies include running, reading, sports and traveling. Have traveled to 5 countries.

JAMIE MORRISON

EXPERIENCE

UP Academy Charter School of Boston, South Boston, MA March 2013 - Present
Principal

- Led eight-person team and managed the professional development of three Deans of Curriculum, two Deans of Students, the High School Placement Counselor, and the Special Projects Coordinator
- Realized an additional 10% gain in proficient and advanced rates for ELA including 20% growth for students on IEPs
- Maintained highest SGP for math in MA for two consecutive years
- Designed and orchestrated comprehensive strategic plan for school improvement including differentiated intervention programming, school-wide unit planning shared practice, and revamped character education program

UP Academy Charter School of Boston, South Boston, MA 2011-2013
Dean of Curriculum and Instruction for English, History, and Encore

- Managed the professional development of seventeen teachers
- Realized 22% gain in proficient and advanced rates on the ELA MCAS
- Contributed to and implemented strategic vision for school improvement including family engagement initiative and the adoption of a behavior ladder for classroom management

Unlocking Potential (Now UP Education Network), Boston, MA 2010-2011
Academic Achievement Manager

- Developed overarching curriculum philosophies and instructional practices for UP Academy
- Designed scopes and sequences for 6th, 7th, and 8th grade English and Social Studies courses at UP Academy
- Evaluated and select English and Social Studies staff for UP Academy

New Orleans College Prep, New Orleans, LA 2009-2010
Reading Teacher

- Designed and implemented reading comprehension course serving students in grades 6, 7, and 8
- Caused 340% increase in students scoring Mastery and Advanced on Achievement Network interim assessments during first semester
- Developed and implemented marketing and recruiting strategies which resulted in the enrollment of over 150 new students

James M. Singleton Charter School, New Orleans, LA 2008-2009
English and Social Studies Teacher

- Designed and implemented “debit” and “credit” management system for 5th grade that was later adopted by other grade levels
- Planned and delivered *Family Literacy Night*, which provided materials, instruction, and outreach to Central City families

EDUCATION

University of Kentucky, Lexington, KY 2003-2005
Post-Bachelor's Teacher Certification in Elementary Education; GPA 4.0

- Member of Phi Beta Kappa

University of Kentucky, Lexington, KY 1995-1999
Bachelor of Arts in Philosophy; GPA 3.92

- Summa Cum Laude graduate

VICTORIA P. CRIADO

EDUCATION

HARVARD UNIVERSITY, John F. Kennedy School of Government Cambridge, MA
Master in Public Policy, May 2010

Policy Area Concentration: Business and Government Policy

Thesis: *Economic Development Strategies for West Warwick, RI* (Taubman Urban Prize Finalist)

Summer 2009 [Carnegie and Knight Foundation Policy Fellow](#) (California)

BOSTON COLLEGE Chestnut Hill, MA
Bachelor of Arts, May 2003

Major: Political Science. AHANA & Copithorne Scholarships; United Nations Summer Intern.

LEADERSHIP

2008 – 2010 **Editor-in-Chief, *The Harvard Kennedy Citizen Newspaper.***

2009 – 2010 **Harvard Teaching Assistant:** Private-Public Partnerships; Press, Politics, & Public Policy; Statistics I.

2007 – 2008 **Private/Public Sector Board Member:** The HOPE Program, Brooklyn, NY.

EXPERIENCE

Feb. 2011 – **EXECUTIVE OFFICE OF THE PRESIDENT OF THE UNITED STATES** Washington, D.C.

Present **Program Examiner, Housing, Treasury & Commerce – Office of Management & Budget**

- Program Examiner within the Financial Rescue Unit – a three-member team tasked with coordinating policy related to Dodd-Frank implementation; overseeing TARP; and, working with all financial regulators, including the CFPB, SEC, CFTC, FDIC, NCUA, and other Treasury offices (FSOC/OFR).
- Completed the President's 2013 Budget, which included crafting a number of new policy initiatives.
- Develop recommendations on an ongoing basis to improve the management of economic recovery programs, including Treasury-led small business lending initiatives (SBLF and SSBCI).
- Craft, analyze, and support the President's budget and other economic recovery priorities.
- Review pending legislation and Congressional testimony for consistency with Presidential policy.
- Draft speeches/testimony, policy memos, and appropriations language; pitch programmatic proposals.
- Deliver cost-benefit analysis of proposed regulations and legislation.
- Coordinate interagency policy development; referee interagency conflicts.

2010 – 2011 **INTER-AMERICAN DEVELOPMENT BANK** Washington, D.C.

Senior Consultant, Fiscal & Municipal Management

- Project Manager for pilot state and local government budget initiative modeled after the IMF's *Government Finance Statistics (GFS)* Database.
- Initiated development of a database of never-before disseminated state and local government information (fiscal and social sector spending indicators) for 15 Latin American countries.
- Liaised with federal, state, and local officials to obtain the highest quality indicators.

2006 – 2008 **DEUTSCHE BANK, EMERGING MARKETS RISK MANAGEMENT** New York, NY

Asst-Vice President, Latin America and the Caribbean

- Managed Central American, Andean region & Caribbean portfolio.
- Group Credit Industry Manager for Latin American Financial Institutions.
- Spearheaded 50+ page research report on LatAm Banks for DB Board approval.
- Analyzed & provided recommendations/internal ratings for 40+ clients in Latin America.
- Contributed to new and profitable business in previously untapped Caribbean region.
- Selected for competitive London rotation as portfolio analyst for Middle East and Africa.
- Conducted due diligence visits to all countries in portfolio to interview/meet with the countries' respective Central Banks, Ministries of Finance, & Banking Regulators.

(continued)

- 2005 – 2008 **BORDER FILM PROJECT (<http://www.borderfilmproject.com>)** AZ, CA, NM, TX & Mexico
Co-Founder
- Created innovative project, which bridged polarizing views on illegal immigration.
 - Published/co-wrote book “Border Film Project” released by Harry Abrams April 2007.
 - Pre-sold 6k copies of book to Amazon, Borders, Barnes & Nobles, American Apparel, et al.
 - Produced documentary film on the social economic causes & effects of illegal immigration.
 - Coordinated pre-production & interviewed over 60 politicians, migrants, ranchers + academics.
 - Administer project’s website which reaches over 1,000 viewers daily.
 - Manage touring of photos throughout the U.S., Mexico, Central America, Europe, & Asia.
 - Spoke at Human Rights and Immigration Government Conference in Mexico City in 2006.
 - Major interviews/press coverage include(s): CNN, The Financial Times, BBC Mundo, CBS Evening News, NPR, Fox News (Phoenix), The Wall Street Journal, CBC, Telemundo.

- 2006 **ACCION NEW YORK** New York, NY
Microcredit Loan Consultant/Risk Analyst
- Contributed to the economic development of the NY area by providing microloans & business advisory services to individuals/small businesses without access to traditional sources of credit.
 - Prepared in depth reviews of clients’ P&L/modeled future cash flows to assess credit risk.
 - Generated creative solutions which resulted in the disbursement of 60k+ to over 20 clients.

- 2003 – 2005 **DEUTSCHE BANK, Risk Management Division** New York, NY
Analyst and Associate
Top Analyst of formal Credit Training Program (London & Frankfurt, completed 7/31/04.)
- *Training* – Five week accounting/finance/credit analyst training (London), three day presentation skills (Frankfurt), and one week Lev/Structured Finance (NY).
 - *Emerging Markets, Latin America* – Analyzed exposure to Latin American counterparties, and recommended credit strategy based on creditworthiness and portfolio stress tests.
 - *Exposure Management* – Calculated potential future exposure of trades w/ swaps, bonds, & CDS. Presented final project on the Securitization of Future Film Receivables.
 - *Financial Institutions* – Prepared analysis/produces 10+ Global Credit Reviews on various banks & brokers, assessing credit risk for capital markets products, primarily FX, interest rate/currency swaps, credit derivatives, and MBS/ABS, as well as bank credit facilities.
 - *North American Corporates* – Completed a myriad of credit reviews for 1bn+ facility names in the retail, food/consumer durables & alcohol/tobacco industries.

LANGUAGES

- Fluent in Spanish (native). Proficient in French.

COMPUTER SKILLS

- MS Office, Bloomberg, STATA, InDesign, social media.

BUSINESS/ACADEMIC TRAVEL

- Argentina, Brazil, Dominican Republic, Germany, India, Israel, Jamaica, Japan, Mexico, Nepal, Palestinian Occupied Territories, Trinidad & Tobago, United Kingdom.

INTERESTS

- Running, documentary film, photography, and E.E. Cummings.

EXPERIENCE

UP Education Network, Boston, MA

Chief Talent Officer 2015 – Present

Leads a team of twelve in strategic redesign of outreach and selection efforts, launch of network-wide diversity initiatives, and talent development and retention programming. Prepares for UP expansion to Springfield, MA in fall 2016 by reorganizing and growing the team to support individual development, collaboration, and customer service to school stakeholders.

Director of Talent 2014 – 2015

Introduced a strategic, systems-oriented approach that increased the efficiency, effectiveness, and credibility of UP talent management. Developed competency-based evaluation tools to support feedback, development, and personnel decisions. Coached school and network office leaders as they navigated sensitive performance decisions. Replaced benefits management system at a savings of up to \$15,000 per year.

American Institutes for Research (AIR), Washington, DC – Senior Consultant 2011 – 2014

Led multiple expert teams as project director for high-profile AIR contracts to guide state and district organizations in the creation of rigorous teacher and principal evaluation and compensation systems. Presented regionally and nationally to state and district audiences on topics including how to combine multiple measures of performance for summative rating purposes and how to use teacher evaluation data to inform professional learning.

Chicago Public Schools, Chicago, IL

Director of Teacher Effectiveness, Office of Human Capital 2009 – 2010

As a member of the Human Capital leadership team, led all teacher effectiveness initiatives: new teacher induction, a formative teacher evaluation pilot in 102 schools, National Board Certification, and the district’s pay-for-performance pilot. Managed a staff of twelve and external relationships including the Chicago Teachers Union, funders, and researchers.

Project Manager, The Excellence in Teaching Project, Department of Human Resources 2008 – 2009

Planner, Office of Strategy & Planning 2006 – 2008

Action Now, Chicago, IL - Education Policy Researcher 2004 – 2006

Published original research on teacher turnover in 64 of the highest needs elementary schools in Chicago. Identified target districts for a state-funded initiative to cultivate new teachers from within underserved communities.

Jobs for the Future, Boston, MA – Education Pioneers Fellow and Consultant 2005

Identified the common successful elements behind the Public Prep School model (grades 6-12) to formally recommend it as a key tool to improve low-income students’ college readiness.

Community Academy Public Charter School, Washington, DC – 1st Grade Teacher 2003 – 2004

Stanton Elementary School/Teach For America, Washington, Dc – 2nd Grade Teacher/Corps Member 2001 – 2003

Developed standards-based curriculum tailored to individual students’ needs through small group work, after-school tutoring and customized homework and tests, which led to student achievement gains of 1 to 1.5 grade levels.

EDUCATION

University of Chicago, Harris School of Public Policy Studies, Chicago, IL 2006

Master of Public Policy (MPP) with a concentration in Education Policy
Recipient of the Harris Fellowship and McCormick-Tribune Leadership Fellowship

American University, School of Education, Washington, DC 2003

Master of Arts in Teaching (MAT) in Elementary Education

Brown University, Providence, RI 2001

Bachelor of Arts (BA) in Public Policy with Honors, Magna Cum Laude, Phi Beta Kappa

MEMBERSHIPS AND ACTIVITIES

Co-Chair, Boston-Area Education Pioneers Alumni Board 2014 – Present

Teaching the Core Advisory Committee, convened by Charlotte Danielson
Board Member, The Bridge: A Melrose School/Community Partnership
Site Council Member and Community Representative, Hoover Elementary School, Melrose, MA

2014
2012 – Present
2012 – Present

PUBLICATIONS

Leo, S. and Coggshall, J. (2013). *Creating Coherence: Common Core State Standards, Teacher Evaluation, and Professional Learning*. Washington, DC: American Institutes for Research.

Leo, S. and Lachlan-Haché, L. (2012). *Creating summative educator evaluation scores: Approaches to combining measures*. Washington, DC: American Institutes for Research.

PROFESSIONAL PRESENTATIONS

Leo, S., Stonehill, R., Killion, J., Taylor, J., Diaz, G., Calabrese, E., & Zippin, B. (2013, December). *Linking Evaluation Data to Professional Learning*. Webinar presented to the Teacher Incentive Fund Community of Practice.

Leo, S. (2013, December). *Creating Coherence: The Common Core and Teacher Evaluation* plenary session. Presented at the Council of Chief State School Officers topical meeting “Supporting Principal Effectiveness in Leading Teacher Evaluation and Supports and Common Core Implementation,” Orlando, FL.

Clifford, M., & Leo, S. (2013, October). *The Need for Interrater Reliability*. Presented at the U.S. Department of Education Waiver Flexibility Workshop, Washington, DC.

Minnici, A., & Leo, S. (2013, October). *Creating Educator Evaluation Systems That Promote Professional Growth*. Presented at the U.S. Department of Education Waiver Flexibility Workshop, Washington, DC.

Chu, D., Jankowski, P., & Leo, S. (2011, May). *Assessing teacher effectiveness in high schools*. Presented at the Midwest High School SIG Meeting, Chicago, IL.

Leo, S. & Sartain, L. (2010, May). *Building a quality teacher evaluation system: A perspective from Chicago*. Presented at a Teacher Quality Center workshop, Arlington, VA.

Brunswick, C., Leo, S., Osta, D., & Perkins Walsh, A. (2010, February). *Scale: From good idea to district-wide implementation. The CPS-CNTC partnership*. Presented at the New Teacher Center Symposium, San Jose, CA.

Anderson, A., Cascarino, J., Leo, S., & Wigler, M. (2009, November). *Using robust measures of teacher practice in evaluating Chicago teachers*. Presented at the Strategic Management of Human Capital national conference, Washington, DC.

Leo, S., Resnick, R., & Soglin, A. (2009, December). *Leading a high-quality teacher evaluation program*. Presented at the annual National Staff Development Council conference, St. Louis, MO.

Experience

Director of Principal Leadership, 07/2013 to Present

UP Education Network – Boston, MA

- Develop, lead and manage principals in their roles as instructional leaders
- Monitor, provide feedback to, and evaluate principals
- Support school leadership to ensure high quality implementation of schools' educational design, including standards, assessment, instructional guidelines and school culture
- Support leaders on the strategic planning process and advise on key decisions
- Support the implementation of key network program elements such as internal benchmarks and core instructional practices
- Facilitate collaboration among principals and school sites
- Collaborate with network Operations, Talent, and Academic teams on school launch

Network Senior Head of Literacy, 07/2012 to 06/2013

Community Day Charter Public Schools - Lawrence, MA

- Oversaw network literacy initiatives, including the implementation of all programs and assessment, as well as supervising literacy support staff
- Served as network STEP Literacy Assessment Coordinator
- Provided consultation to all CDCPS school leaders on literacy development and instruction
- Redesigned the network's professional develop model

Head of Lower School – CDCPS Prospect, 07/2010 to 06/2013

Community Day Charter Public School – Lawrence, MA

- Developed, led, managed, and evaluated all school operations and instructional staff
- Created, implemented and monitored school's behavior management system
- Led analysis of MCAS, STEP and internal benchmark assessment reports and student work to identify areas of weakness, student groupings, scheduling priorities, curricular shifts and personnel allocation
- Developed school policies in collaboration with Executive Director and administrative team
- Developed standards-based curriculum and year-long maps
- Developed and led all instructional professional development
- Supported the development of the fiscal budget
- Served as ELL Coordinator for Prospect campus

Reading Specialist, 06/2006 to 06/2010

Community Day Charter School – Lawrence, MA

- Provided resources and training to staff on evidenced-based reading practices and coached teachers on implementation of core and intervention approaches
- Administered screening, progress monitoring, diagnostic and outcome measures
- Collaborated with teaching teams to interpret data to inform instruction
- Developed and led professional development for teachers and administrators

Special Education Learning Specialist, 08/2004 to 06/2006

Community Day Charter School – Lawrence, MA

- Developed IEP goals and objectives for students Pre-K through grade 3
- Designed and implemented individualized programs
- Collaborated with parents, teachers, and administrators to design effective classroom environments
- Administered and analyzed multiple assessments including WJII, CTOPP & GORT-4
- Developed and led professional development for teachers and administrators

Special Education Teacher, 09/2000 to 06/2003

Boston Public Schools – John Marshall Elementary – Dorchester, MA

- Developed IEP goals and objectives for 9 students with emotional, behavioral and learning disabilities
- Implemented positive behavior management system in a substantially separate classroom
- Administered and analyzed multiple assessments
- Participated in literacy lab sites facilitated by a Boston Plan for Excellence Coach
- Successfully mainstreamed students into regular education classes
- Acted as cooperating teacher for Boston College Donovan Scholar Graduate Student

Home-Based ABA Teacher, 08/1999 to 08/2000

New England Center for Children – Southboro, MA

- Case manager for 2.6 year old child diagnosed with PDD-Autism
- Provided intensive 1:1 instruction in a home-based setting
- Developed protocols to decrease stereotypic behaviors
- Collected, summarized, and graphed discrete trial data
- Developed IFSP goals and objectives
- Communicated with parents daily and provided ABA training
- Collaborated with public school officials to develop pre-school transition plans

Education

Master of Science: Education, May 2004

Simmons College – Boston, MA

Language and Literacy in Special Education Program

Bachelor of Arts: Sociology, September 1998

Clark University – Worcester, MA

London Internship Program

Alumni and Friends Scholarship Recipient

Kristen Linnenbank

EXPERIENCE

UP Academy Charter School of Dorchester – Boston, MA

Founding Director of Operations

July 2013 – June 2015

Co-lead K1-6th grade in-district turnaround charter school serving 630 scholars with 85 staff

- o Successfully launched first elementary school in UP network, opening doors for staff and students on schedule
- o Managed clean-out and set-up of 57,000 square-foot facility in seven weeks, coordinating contractors and volunteers
- o Exceeded goals for student enrollment, enrolling over 85% of target student population with waitlist of over 800 students
- o Developed schedule and duties assignments, outlining instructional minutes and support logistics for 30 classrooms
- o Planned school budget and supervised supply management, ensuring staff and student needs met responsibly
- o Defined operational excellence for team of five, providing individual coaching and team management
- o Planned facility and staffing shifts for expansion, preparing for growth of one grade-level per year through fall 2016

UP Education Network (formerly Unlocking Potential) – Boston, MA

Director of Operations in Residence

May 2012– June 2013

Led operational planning during pre-operational year of UP Academy Dorchester and supported other network initiatives

- o Provided significant support to launch UP Academy Lawrence, managing space usage, enrollment, purchasing & signage
- o Developed new systems to efficiently manage UP Academy Boston's enrichment program
- o Managed operations tasks for school launch, including charter application, school budget, schedule, facilities inventory, space usage plan, family outreach events, family communication, application lottery, and enrollment procedures

Jumpstart for Young Children – Boston, MA

Director of Operations & Systems

2010–2012

Managed operations and technology teams for national early childhood education nonprofit, serving 10,000 preschool children in 14 states and the District of Columbia with over 200 full-time staff and over 3,500 AmeriCorps volunteers

- o Defined structure for newly-formed department, aligning operations & technology teams around common goals
- o Prioritized improvements to technology processes and addressed existing performance concerns
- o Implemented new configuration for technology support by launching managed services partnership
- o Led collaborative project to develop new Intranet with primary goal of enhancing internal communication

Director of Operations

2008–2010

Managed operations team, responsible for internal communication, organizational planning, systems, and office management

- o Guided project management practices for teams across the organization
- o Created communication plans and drafted organizational updates for leadership team, including roll-out of strategic plan
- o Regularly facilitated leadership team discussions and decision-making
- o Supervised strategic database improvements to increase functionality and flexibility of data applications

Operations Coordinator/Manager

2006-2008

Led projects related to student data tracking & analysis, organizational dashboards, and internal communication systems

Simmons College – Scott/Ross Center for Community Service – Boston, MA

Site Manager, Jumpstart Boston at Simmons College

2004-2006

Oversaw all aspects of site operations for national nonprofit program, recruited and trained 45 college students for year-long service in local preschools, managed students' performance, and strengthened relationships with campus and community offices

EDUCATION

Simmons College, Boston, MA

Graduated May 2004

Bachelor of Arts, Political Science and Psychology - Cum Laude Graduate

Professional experience: Intern – Suffolk County House of Correction, Social Services; Program Coordinator – America Reads

American University – Washington Semester Program, Washington, DC

Fall 2002

Transforming Communities Semester, Seminar on Social Policy and Public Service

Professional experience: Intern Investigator – Public Defender Service, Mental Health Division



Massachusetts Department of Elementary and Secondary Education

75 Pleasant Street, Malden, Massachusetts 02148-4906

Telephone: (781) 338-3000
TTY: N.E.T. Relay 1-800-439-2370

Mitchell D. Chester, Ed.D.
Commissioner

July 10, 2015

The Honorable Arne Duncan, U.S. Secretary of Education
U.S. Department of Education
400 Maryland Ave., SW
Washington, D.C. 20202

Dear Secretary Duncan,

On behalf of the Massachusetts Department of Elementary and Secondary Education (ESE), I am writing to express my support for UP Education Network's application for funding under the federal Charter School Program – Replication and Expansion of High-Quality Charter Schools initiative (CFDA 84.282M). ESE's mission is to strengthen the Commonwealth's public education system so that every student is prepared to succeed in postsecondary education, and in doing so, to close all proficiency gaps.

UP Education Network is doing just that: it is not only narrowing the proficiency gaps that frustratingly exists today, but it is doing so *rapidly*. As one of the few organizations in the country that is rising to the challenge of successfully restarting the public education system's lowest-performing elementary and middle schools, UP Education Network is an exemplar of what is possible when external organizations truly partner with local school districts and the state to do what is best for our children. Their "open door" policy has allowed hundreds of school leaders, administrators, and friends of the public education system to observe what authentic learning can and should look like.

The Department has been proud to invest in the growth of UP Education Network to date, and we fully support their proposed expansion, which I believe will improve and provide additional educational opportunities for students across Massachusetts. UP Education Network is helping the Commonwealth achieve its mission, and the support of the CSP is essential to further advancing the modeling, dissemination, and collaboration of best practices in the state.

Sincerely,



Mitchell D. Chester, Ed.D.
Commissioner of Elementary and Secondary Education

July 15, 2015

Secretary Arne Duncan
U.S. Department of Education
400 Maryland Ave. SW
Washington, DC 20202

Dear Secretary Duncan:

I write to you today in support of the application submitted by UP Education Network for funding under the U.S. Department of Education's Charter Schools Program. Such funding will allow UP Education Network to continue its dramatic transformation of underperforming district schools – schools that otherwise unnecessarily strain our communities and fail to provide our students with the educational opportunities they deserve.

As the birthplace of public education in this nation, the Boston Public Schools (BPS) is committed to transforming the lives of all children through exemplary teaching in a world-class system of innovative, welcoming schools. Since former Governor Deval Patrick passed landmark legislation in 2010 that allowed BPS to intervene in our lowest-performing schools, BPS has made great strides.

Thanks to the very high quality methodological work of UP Education Network, significant progress has been made in two of the district's underperforming schools: the former Patrick F. Gavin Middle School (now operating as UP Academy Charter School of Boston) and the former John Marshall Elementary School (now operating as UP Academy Charter School of Dorchester). In fact, the Massachusetts Department of Elementary and Secondary Education named UP Academy Boston to its 2014 List of Schools Commended for High Progress and Narrowing Proficiency Gaps.

These two schools are bright lights for our district, and as the newly appointed Superintendent of BPS, I am eager to work in collaboration with UP Education Network to consider the launch of additional UP Academies as a smart and innovative way to successfully turn around Boston's struggling schools. I applaud UP Education Network for its willingness and ability to tackle in-district turnaround, and I hope that its application for funding meets your approval.

Thank you for your consideration of this important partner, and please reach out should you like to discuss further.


Tommy Chang, Ed.D.
Superintendent





Central Office
1550 Main Street, 2nd Floor
P.O. Box 1410
Springfield, MA
01103-1410

SPRINGFIELD PUBLIC SCHOOLS - SPRINGFIELD, MASSACHUSETTS

Daniel J. Warwick
Superintendent of Schools

[REDACTED]
Fax 413-787-7171

July 7, 2015

The Honorable Arne Duncan, U.S. Secretary of Education
U.S. Department of Education
400 Maryland Ave., SW
Washington, D.C. 20202

Dear Secretary Duncan,

On behalf of the Springfield Public Schools (SPS) in Western Massachusetts, I am writing to express my support for UP Education Network's application for funding under the federal Charter School Program – Replication and Expansion of High-Quality Charter Schools initiative (CFDA 84.282M), particularly as UP prepares to expand west and partner with SPS.

Having visited UP Academies over the past year, I am continually impressed by the high level of professional collaboration and learning that is taking place in their schools. As an administrator with nearly 40 years of teaching and leadership experience, I would have been excited to work at an UP Academy. What is particularly impressive about UP is its commitment to inheriting all of the students in a low-performing school when it agrees to help restart a school.

Dozens of Springfield parents have also visited UP Academies, and after every visit, they have eagerly urged the members of the Springfield School Committee to vote "yes" to opening UP Academy in Springfield. Just this past June, our School Committee unanimously voted to approve a Horace Mann charter school application so that an UP Academy, which will serve as the restart of a chronically low-performing district school, can open in fall of 2016, and we are thrilled to be welcoming them into our district.

I am confident that UP Education Network will be able to deliver the results our community needs, and I count them as a critical "tool" and resource in supporting rapid improvement of student outcomes and helping SPS achieve its mission of educating 21st century leaders. Federal CSP start-up funds are essential and critical to helping ensure UP Education Network's success as they launch new schools in Springfield.

Sincerely,

[REDACTED]
Daniel J. Warwick
Superintendent, Springfield Public Schools

INTERNAL REVENUE SERVICE
P. O. BOX 2508
CINCINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date: **DEC 16 2010**

UNLOCKING POTENTIAL INC
C/O SCOTT GIVEN
1 WESTERN AVE APT 1505
BOSTON, MA 02163

Employer Identification Number:
27-2194956
DLN:
17053141378030
Contact Person:
MS K WILMER ID# 52405
Contact Telephone Number:
(877) 829-5500
Accounting Period Ending:
June 30
Public Charity Status:
170(b)(1)(A)(vi)
Form 990 Required:
Yes
Effective Date of Exemption:
March 23, 2010
Contribution Deductibility:
Yes
Addendum Applies:
No

Dear Applicant:

We are pleased to inform you that upon review of your application for tax exempt status we have determined that you are exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code. Contributions to you are deductible under section 170 of the Code. You are also qualified to receive tax deductible bequests, devises, transfers or gifts under section 2055, 2106 or 2522 of the Code. Because this letter could help resolve any questions regarding your exempt status, you should keep it in your permanent records.

Organizations exempt under section 501(c)(3) of the Code are further classified as either public charities or private foundations. We determined that you are a public charity under the Code section(s) listed in the heading of this letter.

Please see enclosed Publication 4221-PC, Compliance Guide for 501(c)(3) Public Charities, for some helpful information about your responsibilities as an exempt organization.

Letter 947 (DO/CG)

UNLOCKING POTENTIAL INC

We have sent a copy of this letter to your representative as indicated in your power of attorney.

Sincerely,



Robert Choi
Director, Exempt Organizations
Rulings and Agreements

Enclosure: Publication 4221-PC

Appendix D: Charter Schools Operated by UP Education Network

UP Academy Charter School of Boston (UAB)

- Year opened: 2011
- Address: 215 Dorchester Street, South Boston, MA 02127
- Grades served: 6, 7, 8
- Authorizing LEA: Massachusetts Department of Elementary and Secondary Education

UP Academy Charter School of Dorchester (UAD)

- Year opened: 2013
- Address: 35 Westville Street, Dorchester, MA 02124
- Grades served: K1-6 (expanding to K1-7 for SY 2015-16 and to K1-8 for SY 2016-17)
- Authorizing LEA: Massachusetts Department of Elementary and Secondary Education

Appendix E: Student Academic Achievement

UP Education Network is a school management organization that operates and manages two high-quality Horace Mann charter schools in Boston, Massachusetts. As of the end of the 2014-15 school year, UP Academy Charter School of Boston (UAB) and UP Academy Charter School of Dorchester (UAD) collectively served 1,090 students. UAB will expand by 55 seats in SY 2015-16; UAD will expand by two grade levels over the next two years. Subgroups and achievement data for the past three academic years are as follows:

2012 MCAS: % A/P		UAB	Comparison School (John McCormack)	District (BPS)	State (MA)
Math	All students	47	33	41	59
	African American	40	30	30	35
	Hispanic	39	22	35	34
	Low income	46	30	35	38
	Non-low income	48	45	55	70
	Students w/ disabilities	15	8	13	21
	ELL/former ELL	44	29	35	32
ELA	All students	53	36	46	69
	African American	54	33	40	50
	Hispanic	49	26	39	45
	Low income	53	31	41	50
	Non-low income	60	52	62	81
	Students w/ disabilities	21	5	15	31
	ELL/former ELL	50	25	33	34

2013 MCAS: % A/P		UAB	Comparison School (John McCormack)	District (BPS)	State (MA)
Math	All students	61	30	42	61
	African American	57	22	30	39
	Hispanic	64	25	37	38
	Low income	62	29	37	41
	Non-low income	57	38	61	72
	Students w/ disabilities	35	3	13	23
	ELL/former ELL	57	25	35	35
ELA	All students	57	35	47	69
	African American	51	33	41	51
	Hispanic	59	25	40	45
	Low income	55	33	42	50
	Non-low income	49	43	66	80
	Students w/ disabilities	19	6	16	29
	ELL/former ELL	48	22	34	34

2014 MCAS: % A/P		UAB	Comparison School (John McCormack)	District (BPS)	State (MA)
Math	All students	61	33	44	60
	African American	54	26	32	39
	Hispanic	63	20	38	39
	Low income	61	32	39	41
	Non-low income	-	39	66	73
	Students w/ disabilities	37	7	16	23
	ELL/former ELL	57	27	37	35
ELA	All students	64	39	49	69
	African American	64	35	42	52
	Hispanic	59	28	41	47

Low income	64	38	43	51
Non-low income	-	49	72	81
Students w/ disabilities	33	7	17	30
ELL/former ELL	55	28	35	36

2014 MCAS: % A/P		UAD	Comparison School (Mattahunt)	District (BPS)	State (MA)
Math	All students	60	18	44	60
	African American	57	16	32	39
	Hispanic	61	24	38	39
	Low income	60	16	39	41
	Non-low income		37	66	73
	Students w/ disabilities	29	5	16	23
	ELL/former ELL	58	14	37	35
ELA	All students	40	10	49	69
	African American	42	9	42	52
	Hispanic	37	13	41	47
	Low income	40	9	43	51
	Non-low income		16	72	81
	Students w/ disabilities	12	5	17	30
	ELL/former ELL	39	9	35	36

Appendix: UP Education Network Office 5 Year Budget

FY	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	Actual
Growth Plans											
Support Schools	1.0	1.3	3.3	5.0	5.0	7.0	10.0	14.0	18.0	22.0	22.0
Launch Schools	0.3	2.0	1.7	-	2.0	3.0	4.0	4.0	4.0	4.0	4.0
Average Support School Size	470	444	459	514	530	527	504	481	463	452	452
Average Launch School Size	364	469	623		520	450	425	400	400	400	400
Support Students	470	590	1,524	2,558	2,640	3,680	5,030	6,730	8,330	9,930	9,930
Launch Students	120	934	1,034	82	1,040	1,350	1,700	1,600	1,600	1,600	1,600
Revenue											
Per Pupil Public Revenue Targets											
Service Fee (Support Students)	1,100	1,100	1,100	1,100	850	800	800	800	800	800	800
Launch Target (Launch Students)	1,500	1,500	1,500	1,500	1,500	1,500	1,500	1,500	1,500	1,500	1,500
Total Target Public Revenue	697,000	2,050,000	3,227,400	2,936,800	3,804,000	4,969,000	6,574,000	7,784,000	9,064,000		
Actual per Pupil Public Revenue											
Service Fee from Schools	1,105	1,037	1,126	1,073	1,058						
Grants to Schools	143	635	350	151	222						
Net Management Fee	962	402	776	922	837	800	800	800	800	800	800
Launch Revenue	-	249	-	-	-	-	-	-	-	-	-
Total Actual Public Revenue	452,194	470,219	1,182,577	2,358,255	2,208,568	2,944,000	4,024,000	5,384,000	6,664,000		
Fundraising											
School Launch Fundraising	180,000	1,168,000	1,551,000	123,000	1,560,000	2,025,000	2,550,000	2,400,000	2,400,000		
School Support Fundraising	64,806	411,781	493,823	455,545	35,432						
Network Capacity Building Fundraising	555,245	713,080	435,987	2,797,693	3,114,308	3,429,607	3,478,045	3,950,429	4,339,854		
Total Fundraising	800,052	2,292,861	2,480,810	3,376,238	4,709,740	5,454,607	6,028,045	6,350,429	6,739,854		
Total Revenue	1,252,245	2,763,080	3,663,387	5,734,493	6,918,308	8,398,607	10,052,045	11,734,429	13,403,854		
Expenses											
Personnel Expenses	623,454	1,864,918	2,774,025	4,147,392	5,055,439	6,214,969	7,539,034	8,918,166	10,320,968		
Other Non-Personnel Expenses	628,791	898,162	889,362	1,587,101	1,862,869	2,183,638	2,513,011	2,816,263	3,082,886		
Total Expenses	1,252,245	2,763,080	3,663,387	5,734,493	6,918,308	8,398,607	10,052,045	11,734,429	13,403,854		
% Change		121%	33%	57%	21%	21%	20%	17%	14%		
Network Metrics											
Network Staff	5.0	17.0	25.4	36.8	48.3	60.3	74.3	89.3	105.0		
Change in Staff		12.0	8.4	11.4	11.5	12.0	14.0	15.0	15.7		
Personnel Expenses per Staff											
Students per Staff	118	90	101	72	76	83	91	93	95		
Expenses per Student	2,122	1,813	1,432	2,172	1,880	1,670	1,494	1,409	1,350		
% Non-Personnel Expenses	50%	33%	24%	28%	27%	26%	25%	24%	23%		
Fundraising / Expenses	64%	83%	68%	59%	68%	65%	60%	54%	50%		
Network Capacity Fundraising / Expenses	55%	60%	27%	54%	59%	54%	46%	42%	39%		

CHARTER SCHOOLS PROGRAM ASSURANCES – REPLICATION AND EXPANSION

Pursuant to Section 5203(b)(3) of the Elementary and Secondary Education Act of 1965, as amended (ESEA); Title III of the Consolidated and Further Continuing Appropriations Act, 2015; and sections 200.302(a) and 200.331(d) of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, a Replication and Expansion of High-Quality Charter Schools Grant under the CSP must contain the following 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 2015, published in the Federal Register on June 12, 2015.
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.

Scott Given
NAME OF AUTHORIZED OFFICIAL


SIGNATURE OF AUTHORIZED OFFICIAL

UP Education Network, Inc.
APPLICANT ORGANIZATION

Chief Executive Officer
TITLE

07/14/2015
DATE

07/15/2015
DATE SUBMITTED

Budget Narrative File(s)

* **Mandatory Budget Narrative Filename:**

[Add Mandatory Budget Narrative](#)

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[View Mandatory Budget Narrative](#)

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

[Add Optional Budget Narrative](#)

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2015 CSP Budget Narrative: UP Education Network

Overview

In 2014, UP Education Network (UP) concluded a yearlong organizational analysis culminating in a growth plan for the Network's expansion from two high-performing Horace Mann charter schools to eight high-performing Horace Mann charter schools over the course of five years. The strategic planning was conducted in partnership with Strategic Grant Partners (SGP), a dual foundation and pro bono consulting firm, and one of UP's first and largest philanthropic supporters. The timing of school openings, application of our academic theory of change to the specific needs of the schools we have restarted, staffing needs, and professional development programming were carefully considered both on an individual school basis and on a network-wide basis. Assumptions were challenged and multiple growth scenarios were considered at every stage of the planning process, an effort spearheaded by UP's Director of Strategy and Evaluation.

UP secured a three-year, \$2.8 million investment from SGP to contribute to the Network's capacity building efforts as we begin our "growth 2.0" phase. UP has developed milestones with SGP to track progress of actual growth and to ensure that we are meeting the high bar that we have set for our schools and ourselves as we put our students on the path to high school and college. UP will be hyper-focused on obtaining the funding needed to successfully launch new Horace Mann charter schools as an integral part of our Network's ambitious growth plan (see Project Narrative for related details). As UP is committed to operating our schools on the public dollar without ongoing private fundraising to support core school activities, the one-time infusion of

dollars to turn around schools will allow UP to expand and thereby help local school districts restart their lowest-performing schools with financial sustainability in mind.

Budget Needs

UP’s operating projections have been carefully modeled out over the next five years. The following budget narrative describes the proposed budget for the CSP grant based on our growth projections, which are founded on the following UP Academy opening schedule and anticipated enrollment. Over the course of the next five years, we respectfully request total funding of [REDACTED]

	Year 1: SY 2015-16	Year 2: SY 2016-17	Year 3: SY 2017-18	Year 4: SY 2018-19	Year 5: SY 2019-20
# Schools, New	2	3	4	4	2
# Schools, Expanded ⁱ	1	0	0	0	0
# Schools, Charter	4	5	6	7	8
# Schools, Total	7	10	14	18	20
Enrollment, New seats ⁱⁱ	1,000	500	500	500	500
Enrollment, Expanded seats	60	0	0	0	0
Enrollment, Charter seats	2,290	2,790	3,290	3,790	4,290
Enrollment, Total seats	3,500	4,700	6,350	8,000	10,000
Annual Funding Request	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

Funds received via the CSP grant over the five project years will be used to cover: 1) start-up furniture and technology; 2) start-up supplies and materials; 3) instructional programming; 4) personnel salaries; 5) engagement and outreach in the pre-turnaround

phase; and 6) miscellaneous costs associated with school restart. Descriptions of each are provided in the sections below.

Start-Up Furniture and Technology

UP restarts underperforming district schools as UP Academies. As part of the turnaround process, UP Academies continue to remain part of their respective school districts and as such, remain in the same physical buildings as their predecessors. These school buildings have often suffered from years of under-investment, and we therefore pledge to upgrade each facility during a school's first year of turnaround operation. Because UP Academies are launched as fully enrolled schools, furniture for the entire student body and faculty are needed for the planned enrollment by year. CSP grant funds would be used to purchase furniture, including:

For Classrooms

- Student desks and chairs
- Teacher desks and chairs
- Multi-use and computer tables
- Storage units and shelves for materials
- Storage cubbies for student belongings
- Bulletin boards and whiteboards
- Office partitions to divide large classrooms and create additional space for tutoring and small group instruction

For Administrative Spaces and Teacher Planning Rooms

- Office desks, chairs, and tables
- Storage units and shelves

- Bulletin boards and whiteboards

Technology is a key element in successfully operating a public school. UP values the impact that technology has on our educators’ abilities to deliver the robust education our scholars deserve. As our schools transition from the paper-based Massachusetts Comprehensive Assessment System (MCAS) to the computer-based Partnership for Assessment for College and Careers (PARCC) test by academic year 2016-17, we are prioritizing the technology readiness of each of our schools. It is imperative that our schools run infrastructure trials to validate that testing workstations meet the minimum requirements needed to run the PARCC’s software; evaluate bandwidth capacity for internet and proctor caching connections; and provide the necessary time for our teachers and students to acclimate to the new test delivery. Further, we intend to leverage the computer-based programs throughout the school year to assist with individualized and small-group instruction, as computer-driven, adaptive learning activities will allow us to tailor lesson plans based on student learning levels and needs.

	Year 1: SY 2015-16	Year 2: SY 2016-17	Year 3: SY 2017-18	Year 4: SY 2018-19	Year 5: SY 2019-20
Furniture	\$230,000	\$115,000	\$115,000	\$115,000	\$115,000
Technology	\$245,500	\$122,750	\$122,750	\$122,750	\$122,750
Start-up Furniture & Technology	\$475,500	\$237,750	\$237,750	\$237,750	\$237,750

Start-UP Supplies and Materials

The shared mission of each UP Academy is to provide our students with the knowledge, skills, and strength of character necessary to succeed on the path to college and beyond. In seeking to rapidly transform our inherited schools into extraordinary

schools, we invest in a wide array of education materials. CSP grant funds would help each school purchase:

- Core and non-core instructional and curricular planning materials
- Supplemental curriculum for the specific needs of each school and classroom
- Digital content delivered through educational software
- Intervention tools aimed to help students with disabilities and/or special needs
- Grade-level classroom and library texts to be incorporated in school-wide DEAR (“Drop Everything And Read”) program, including those for our English language learners

In alignment with our mission, we seek to create a learning environment where students are encouraged and feel supported in their pursuit of personal and academic growth. In addition to the purchase of educational materials, CSP grant funds would also cover other start-up materials and supplies, such as inspirational signage that remind students of the importance of our core values (ASPIRE or TIGER, as explained in the Project Narrative) and striving for collegiate success; spare sets of school uniforms for our classrooms serving our younger students; and financial aid for families to purchase individual sets of school uniforms.

	Year 1: SY 2015-16	Year 2: SY 2016-17	Year 3: SY 2017-18	Year 4: SY 2018-19	Year 5: SY 2019-20
Instructional supplies	\$565,200	\$282,600	\$282,600	\$282,600	\$282,600
Instructional software	\$10,000	\$5,000	\$5,000	\$5,000	\$5,000
DEAR books	\$100,000	\$50,000	\$50,000	\$50,000	\$50,000
Signage	\$16,000	\$8,000	\$8,000	\$8,000	\$8,000
Uniforms (spare classroom)	\$6,000	\$3,000	\$3,000	\$3,000	\$3,000

sets and financial aid)					
Start-up Supplies and Materials	\$697,200	\$348,600	\$348,600	\$348,600	\$348,600

Instructional Programming

UP supports each UP Academy in its progress towards the stated mission of college readiness for all students. A CSP grant would allow us to fund:

- World-class training and development services to our personnel based on content and/or needs areas. This includes sending teacher leaders to attend national and/or regional conferences aimed at increasing our institutional knowledge and understanding of math, ELA, etc. teaching methods.
- Exceptional internally designed and administered assessments, tools, and resources (see pages 56-60 of our Project Narrative)
- Special education services, including those tools needed to successfully implement our Response to Intervention framework of supports for all students
- Tutoring services
- Partnerships with community-based organizations for after-school and enrichment programming

	Year 1: SY 2015-16	Year 2: SY 2016-17	Year 3: SY 2017-18	Year 4: SY 2018-19	Year 5: SY 2019-20
Professional development	\$20,000	\$10,000	\$10,000	\$10,000	\$10,000
Enrichment program	\$60,000	\$30,000	\$30,000	\$30,000	\$30,000
Testing & assessment	\$33,224	\$16,612	\$16,612	\$16,612	\$16,612
Testing &	\$26,400	\$13,200	\$13,200	\$13,200	\$13,200

assessment – special education					
Special education services	\$30,000	\$15,000	\$15,000	\$15,000	\$15,000
Tutoring services	\$20,000	\$10,000	\$10,000	\$10,000	\$10,000
Instructional Programming	\$189,624	\$94,812	\$94,812	\$94,812	\$94,812

Personnel Salaries

UP Academies remain a part of their respective school districts, which allows for the vast majority of personnel salaries and stipends to be funded through each school’s district allocation. However, given that UP Academies operate on both an extended day and extended year schedule, we seek to cover 10 percent of instructional staff salaries with CSP funds. We have based this proportion on the amount we qualify for under Title I funding (10 percent).

	Year 1: SY 2015-16	Year 2: SY 2016-17	Year 3: SY 2017-18	Year 4: SY 2018-19	Year 5: SY 2019-20
Instructional personnel salaries	██████	██████	██████	██████	██████
Personnel salaries	██████	██████	██████	██████	██████

Engagement and Outreach

As described in our Project Narrative, we believe in the deep importance of gaining family support, and each UP Academy’s opening requires concentrated and increased efforts to secure family alignment in the pre-turnaround phase of the launch of a school. CSP grant funds would be used to cover the costs of deploying the to-be-

launched UP Academy’s co-leaders and a team of full-time community and family relations liaisons who will visit every student’s family before the start of the school year. This is a time for UP to explain our philosophy and expectations before our doors open to students. Further, throughout the summer prior to an UP Academy’s launch, we facilitate mandatory culture sessions with small groups of students to help ensure a smooth and successful start to an UP Academy’s first school year. In addition, we seek to invite all families, students, and select community organizations and elected officials to join us in a Community Day to kick off the launch of each school.

	Year 1: SY 2015-16	Year 2: SY 2016-17	Year 3: SY 2017-18	Year 4: SY 2018-19	Year 5: SY 2019-20
Family outreach	\$2,000	\$1,000	\$1,000	\$1,000	\$1,000
Student culture sessions	\$1,000	\$500	\$500	\$500	\$500
Community Day	\$3,000	\$1,500	\$1,500	\$1,500	\$1,500
Engagement and outreach	\$6,000	\$3,000	\$3,000	\$3,000	\$3,000

Miscellaneous Costs Associated with School Restart

As previously mentioned, the physical buildings UP Academies inherit often suffer from years of under-investment. UP looks to utilize CSP grant funds to pay for capital repairs and renovations. In addition, per our agreement with local school districts, schools are required to cover the leases of necessary equipment such as copier machines and printer services. UP would look to cover these costs; translation services/interpreters for school nights and general outreach and communication with families where school-based staff may not be fluent in the families’ first language; and after-school transportation for our students with CSP grant funds.

	Year 1: SY 2015-16	Year 2: SY 2016-17	Year 3: SY 2017-18	Year 4: SY 2018-19	Year 5: SY 2019-20
Copier lease	\$50,000	\$25,000	\$25,000	\$25,000	\$25,000
Printer services contract	\$10,000	\$5,000	\$5,000	\$5,000	\$5,000
Capital repairs & renovations	\$80,000	\$40,000	\$40,000	\$40,000	\$40,000
Translation services / interpreters	██████	██████	██████	██████	██████
Transportation	\$20,000	\$10,000	\$10,000	\$10,000	\$10,000
Misc. costs	\$180,000	\$90,000	\$90,000	\$90,000	\$90,000

ⁱ Expanded school refers to an existing UP Academy that intends to increase the number of seats available.

ⁱⁱ As UP does not know the identity of the schools it restarts until approximately six to nine months before it launches an UP Academy, it is challenging to anticipate the exact number of seats that will be available per school. This projection assumes an average of 500 students per Horace Mann charter school opened, a figure that is in line with our existing Horace Mann charter schools enrollment and with general district elementary and/or middle school sizes.

**U.S. DEPARTMENT OF EDUCATION
SUPPLEMENTAL INFORMATION
FOR THE SF-424**

1. Project Director:

Prefix:	First Name:	Middle Name:	Last Name:	Suffix:
	Scott		Given	

Address:

Street1:	90 Canal Street, Suite 600
Street2:	
City:	Boston
County:	
State:	MA: Massachusetts
Zip Code:	02114-2022
Country:	USA: UNITED STATES

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

Email Address:

--

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:

--

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

UP Education Network, 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	20,000.00	10,000.00	10,000.00	10,000.00	10,000.00	60,000.00
4. Equipment	475,500.00	237,750.00	237,750.00	237,750.00	237,750.00	1,426,500.00
5. Supplies	697,200.00	348,600.00	348,600.00	348,600.00	348,600.00	2,091,600.00
6. Contractual	60,000.00	30,000.00	30,000.00	30,000.00	30,000.00	180,000.00
7. Construction	80,000.00	40,000.00	40,000.00	40,000.00	40,000.00	240,000.00
8. Other	215,623.00	107,812.00	107,812.00	107,812.00	107,812.00	646,871.00
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 UP Education Network, 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						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

SECTION C - BUDGET NARRATIVE (see instructions)