



PROPOSAL SUMMARY AND TRANSMITTAL FORM

Proposed School Information			
Charter School Name:	University Prep Charter Middle School		
Education Corp. Name:	University Prep Public Schools, Inc. (Name Change)		
Education Corp. Status:	Existing Education Corporation	Proposal Type:	Standard New School Proposal
School District (or NYC CSD):	7	Opening Date:	2019

Proposed Grades and Enrollment		
Charter Year	Grades	Enrollment
Year 1	5-6	184
Year 2	5-7	308
Year 3	5-8	462
Year 4	5-8	462
Year 5	5-8	496

Proposed Affiliations (if any)	
Charter Management Company ("CMO"):	N/A
CMO Public Contact Info (Name, Phone):	N/A
Partner Organization:	Future Is Now Schools
Partner Public Contact Info (Name, Phone):	Steve Barr, 213.270.9272

Lead Applicant Contact Information					
First Lead Applicant Name:		Andrea d'Amato			
Applicant is a:		<input type="checkbox"/> Parent <input type="checkbox"/> Teacher <input checked="" type="checkbox"/> School Administrator <input type="checkbox"/> District Resident <input checked="" type="checkbox"/> Education Corp./Charter School			
Organization Name:		University Prep Public Schools			
Applicant Mailing Address:		[REDACTED]			
Primary Phone #:	[REDACTED]	Secondary Phone #:	[REDACTED]	Email:	[REDACTED]
Second Lead Applicant Name:					
Applicant is a:		<input type="checkbox"/> Parent <input type="checkbox"/> Teacher <input type="checkbox"/> School Administrator <input type="checkbox"/> District Resident <input type="checkbox"/> Education Corp./Charter School			
Organization Name:					
Applicant Mailing Address:					
Primary Phone #:		Secondary Phone #:		Email:	
List additional lead applicants in the "Other" section.		<input checked="" type="checkbox"/> Not Applicable <input type="checkbox"/> Additional Applicants Listed in "Other"			

Media/Public Contact Information (required)			
Name:	Andrea d'Amato	Phone #:	718-292-6543
Email:	info@upchs.org		

Lead Applicant Signature	
Signature:	
Date:	6/20/2018

By signing this Proposal Transmittal Form, the Lead Applicant certifies that the information contained in this proposal to establish a charter school pursuant to the New York Charter Schools Act with the State University of New York Board of Trustees is true and accurate to the best of his or her knowledge.

Program Design**MISSION STATEMENT**

The University Prep Charter Middle School has as its mission to prepare students for success in high school, college, leadership and life. Ensuring growth in all three areas is our professional commitment and privilege. UPCMS (or “the School”) achieves this mission by creating small, college-preparatory learning communities where all stakeholders (administrators, teachers, parents, students and community) actively engage in the education process. We create a student-centered environment that unifies the efforts of family, community and school to foster life-long learning, cross-cultural competency, social responsibility and academic excellence. The underlying belief at UPCMS is that all students can go to college and that their preparation is our professional responsibility and moral obligation.

Our Approach

We believe that with appropriate academic supports, students of all abilities learn more in classes with highly challenging content than in those with low academic rigor. The administration and staff of University Prep Public Schools is forward focused, making sure that we are working to achieve long-term longitudinal academic goals for our students. Regardless of the age group, teachers and administrators are striving to ensure that all students have the preparation necessary to excel at the next level.

UPCMS students enroll in a scope and sequence of courses aligned to the New York State and Common Core Learning Standards. We employ a team of highly qualified individuals to help identify and service the social and emotional needs of our diverse student body which fosters our school's culture of support and creates a strong sense of community.

KEY DESIGN ELEMENTS

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The key design elements of University Prep Public Schools are:

A Shared Commitment to Academic Excellence – The UPCMS community of stakeholders shares a commitment to academic excellence. We design and decide together. At UPCMS, we prioritize our commitment to teacher voice and agency through our community decision-making model of distributed leadership. Distributed leadership means instructional decision-making is shared and extended between administrators and faculty; and, that responsibility for excellence is held by those with expertise. Anchored in our unique partnership with the United Federation of Teachers, our model provides systemic, mission-aligned opportunities for teachers to share responsibilities and lead various initiatives. To sustain and extend the effectiveness of our practice, we collaborate on the design of professional development opportunities. We ensure professional development provides teachers with timely, relevant and challenging content within structures inter-visitation, coaching, mentorship, small group leadership, etc.) created by and for teachers. We measure our shared commitment to excellence through multiple data points, including teacher turnover rate.

Powerful Teaching and Learning – The UPCMS instructional program delivers powerful teaching and learning throughout our community. To assess the power or impact of our teaching and learning we begin with an empirical foundation of data. Our administrators and faculty convene structured, data-rich meetings to benchmark performance and evaluate progress. Department team meetings, grade-level team meetings and inquiry groups inform our instructional decision-making and shape our approach to ongoing schoolwide impact analysis. Two cornerstones of our work are Integrated Co-Teaching (ICT) and our Problem-Solving methodology. Our ICT model places two certified teachers (one general education, one special education) in a single classroom. The model increases the individual attention for students, reduces our teacher-to-student ratio, and leverages the skills of highly-trained special education teachers in building comprehensive and collaborative solutions for all learners. The model also allows students with IEPs to receive instruction from a content specialist rather than a special educator.

The core of University Prep Middle School's (UP Middle) academic work is threefold: to prepare students to discuss big ideas; to defend their own and others' opinions; and to find joy in reading and thinking. UP Middle is a knowledge-led school—the goal of the school is to teach a broad, in-depth set of cultural and historical knowledge that is challenging and vital and that students can successfully commit to long-term memory through instruction and assessment. To achieve this, our teachers will work closely in teams—across grades and within departments—to create, practice, teach, and analyze lessons with shared ideas and concepts across courses, based on an idea that is simple but powerful—that knowledge builds on knowledge.

The most important aspect of UP Middle's design is that it is purposeful in employing a curriculum that is specific, sequenced, and aligned. The curriculum presents a sequence of study that is organized and distinguished in both breadth and depth—what students learn is coherent, cumulative, and content-specific. The foundation of all curricular activities at the school is the Core Knowledge sequence, a K-8 course of study developed and refined by the Core Knowledge Foundation at the University of Virginia and in use by some of the highest performing middle schools in New York City today—including the Icahn Charter Schools located throughout the Bronx, which have been using Core Knowledge as the backbone of their courses with great success since the schools' inception in 2001.

The Core Knowledge sequence outlines content and skills that every child should learn in English, history, geography, mathematics, science, music, and the visual arts. It seeks to identify the content and skills that comprise the foundational knowledge that all students need in order to know a lot about the world, to think and read critically, and to solve problems by learning from the past and using knowledge wisely.

These three broad definitions of what it means for a student to be successful are predicated on the mastery of six core skills or abilities that encompass reading, writing, listening, speaking, and numeracy:

1. Students read grade-level fiction and non-fiction, across content subject areas, selected by both teachers and themselves, every day, for a sustained period of time;
2. Students read fiction and informational texts, across content subject areas, that reflect grade-level complexity and the Common Core State reading standards 1-10;
3. Students demonstrate, through writing and speaking, a high level of comprehension when reading or listening, across content subject areas—understanding context and background knowledge, locating evidence to support answers, and tightly and accurately summarizing material they have read or listened to;
4. Students argue—analyze, evaluate, support, and defend—their positions with evidence when writing and speaking about appropriately complex issues and topics in their classes, across content subject areas;
5. Students learn the core algebra strand defined by the National Council of Teachers of Mathematics;
6. Students write expository essays and creative prose that reflect an understanding and mastery of appropriate sentence structure, grammar, usage, and spelling, across content subject areas.

We have also developed several other high impact approaches for students. Faculty hold weekly office hours with students. At UPCMS, students use office hours to build rapport with faculty, to probe deeply and build on knowledge acquired in class, to seek clarification on open questions, and to strengthen bonds within and across the community. We run a Saturday Academy to provide additional academic support for students throughout the year. Our Summer Bridge program, like the composition class, is a formal structure to mitigate the challenges faced by our incoming students. In partnership with CUNY, we offer College Now courses to introduce our students to the expectations and routines of higher education, while earning academic credit. UPCHS students have achieved a 98% graduation rate and 100% college acceptance rate. Across our campus, we expect college enrollment and success. Our teams work internally, and with external partners, to broaden and illuminate the path for our students.

Inclusive School Culture – The integrity of the UPCMS learning community is rooted in our commitment to an inclusive school culture. We affirm “inclusion” as our shared point of departure, or beginning, in all communication and interactions within the community. Inclusion looks and feels like a thoughtful, principled commitment to practice and reinforce our core values by considering and respecting the true diversity (visible and invisible, spoken and unspoken) at UPCMS. Students work towards a set of four core values that keep them on course to be successful at the college of their choice and beyond. “The Core Four” are:

- **Accepting Personal Responsibility:** students see themselves as the primary cause of their outcomes and experiences
- **Discovering Self-Motivation:** students find purpose in their lives by discovering personally meaningful goals and dreams
- **Mastering Self-Management:** students plan for and take purposeful actions in pursuit of their goals and dreams
- **Creating Positive Interdependence:** students build mutually supportive relationships that help them to achieve their goals and dreams – while helping others do the same

We conduct regular Town Hall meetings. These monthly gatherings are shared celebrations of success within our learning and service communities. We present honor roll certificates and attendance awards. Students also showcase their talents in the performing arts. We have built rich, layered support structures wherein four counselors provide support services and loop with our students to ensure stability and to strengthen interpersonal connections.

Student Leadership and Character Development – Fulfilling the mission of UPCMS calls for administrators and faculty to embody and instill principles of student leadership and character development. We model our ideals through a daily advisory period wherein students receive explicit instruction on essential skills such as life management, college readiness, and reducing risk factors. We supplement this instruction by providing students with opportunities to lead and demonstrate character through faculty-led clubs and athletics. Clubs include Spanish Honor Society, UPCMS Pillars (Boys Club), Music Club and the Dance and Movement Club. Extensive athletics offerings include basketball and soccer (boys and girls), baseball (boys), softball (girls), and cheerleading. In addition to the opportunities to lead during the academic year, students can demonstrate their acquired skills as Summer Bridge Assistants who welcome and guide incoming students to the UPCMS community.

Family and Community Involvement – At UPCMS, our model of family and community involvement will incorporate five traditional methods of information sharing and collaborative decision-making: parent association meetings, back-to-school night, introduction to college night, enrollment meetings and quarterly parent-teacher conferences. Each of these structured events allow parents and families to be informed members of the school community. To ensure ongoing access to accurate and timely information, we deploy the PowerSchool school information platform and conduct seminars to train parents in using the platform, as well as e-mail.

BRIEF OVERVIEW OF ACADEMIC PROGRAM

The educational program will provide students with a strong college preparatory model based on the Core Knowledge curriculum. The curriculum will be aligned by grade and subject to New York State Learning Standards and will provide students with the basis for being academically competitive with their peers across the city and state. The Core Knowledge curriculum is taught to students, grade by grade, year by year, in a coherent, age appropriate sequence. In this way, ideas and concepts—organized in “domains,” or areas of study that have a related set of language and vocabulary—can be logically shared between classes and among grades. Examples of domains might include Westward Expansion, Immigration, Fighting for a Cause, the Cycles of Nature, the Five Senses, Taking Care of the Earth, Romanticism, Lasting Ideas from Ancient Civilizations, the Cold War, and Civil Rights.

Because the core curriculum of UP Middle is coherent, cumulative, and content specific, every child, student, and teacher will know what and when students will be studying for all four years before the first day of school. This information will be transmitted to students and families through the consistent and systematic use of knowledge organizers.

Teachers at UP Middle supplement the ideas and concepts taught in the Core Knowledge sequence with their own lessons and backwards-designed units and project-based performance tasks—developed pre-service in the summer during UP University and throughout the year during additional UP University mid-year planning periods—in November and March. Teachers work for three weeks in UP University in August to practice and become fluent with Core Knowledge lessons, to create student-facing knowledge organizers for each unit, and to create supplemental materials and performance tasks for the units.

Teachers understand how to effectively implement, supplement, and teach the school’s curriculum by participating in three segments of pre-service training focused on the Core Knowledge Curriculum and designing backwards-designed unit plans. The first segment of UP University is broken into three parts, each of which is built around an essential question (EQ): 1) What is the content of the Core Knowledge sequence? 2) How will we integrate the sequence into content-specific areas at the middle school level and support students who were not enrolled in elementary schools built on Core Knowledge sequence? 3) What units, for each subject area, will each middle school student experience in sixth grade, seventh grade, and eighth grade, and how will departments ensure that knowledge builds on knowledge?

School Management

MANAGEMENT STRUCTURE

The management structure of University Prep Public Schools establishes authority and oversight responsibilities for academic success and day-to-day operations with our Superintendent. The Superintendent will be the sole direct report to the board of trustees. A single board of trustees will oversee both University Prep Charter Middle School and University Prep Charter High School. Board oversight will occur in much the same manner as is presently done for UPCHS. The board will convene each month to review performance, conduct oversight, address emerging issues, and fulfill ongoing duties such as annual policy review, monthly fiscal oversight, annual compliance reporting and superintendent evaluations. The board will conduct concurrent meetings to address the respective issues at each school. The board will have a teacher representative elected from the faculty at each school. The board add a parent representative from each school as well. To ensure fidelity to the charter and compliance with the applicable laws and regulations of New York State, the trustees will receive annual board training and conduct internal evaluations of board performance to benchmark and plan for future years.

The Superintendent will be directly responsible for supervising the principals at University Prep Charter High School and University Prep Charter Middle School. In 2018-19, the Superintendent who has served as Principal of UPCHS for the past four years will remain in that capacity, and provide support to the prospective principal at UPCMS. The prospective principal will work at UPCHS providing support to the Superintendent, collaborating with our two Assistant Principals for Instruction, the Assistant Principal for Operations, and planning the development of UPCMS. This management structure will provide supplemental support for both UPCHS and UPCMS throughout the year, and facilitate transitions that will occur beginning in 2019-2020. Our structure creates time and space for our senior administrators to build rapport and inculcate a deep understanding of the University Prep model. We anticipate that UPCMS will certainly have some unique elements. However, it is our expectation that both schools will demonstrate alignment across academic, operational and cultural dimensions over the course of the charter term.

Subsequent to the opening of UPCMS, we will enhance our support through ongoing meetings and professional development for administrators and faculty at both sites. Administrators will meet regularly to discuss, plan and coordinate service delivery, progress monitoring and program evaluation. Meetings with the superintendent and principals will be daily and weekly. Professional development for staff at both sites will be held during the summer planning period and periodically throughout the year. The Superintendent will work closely with the teams at each school to develop protocols for data collection and analysis at both sites.

ROLE OF CMO OR PARTNER(S)

Future is Now (FIN) serves as a partner organization that provides strategic and operational support to the education corporation. FIN provides governance support including secretarial support to the board of trustees. In previous years, FIN provided executive search and organizational development support for UPCHS. FIN is anticipated to continue to serve a similar function throughout the next charter term for UPCHS and for UPCMS.

School Facility Plans

The board of trustees and the Founding Team of UPCMS will seek co-located or educationally-appropriate commercial space in proximity to the current location of University Prep Charter High School in CSD 7. No existing commercial facilities have been identified for lease or purchase. As we await the determination on space by NYCDOE, we will continue conversations on siting the middle school in 2019, and engage with developers on options for commercial space.

Financial projections for the proposed charter school were developed under the assumption that public space will not be provided by the New York City Department of Education. Our budgets, fiscal plan, and action plan all assume that UPCMS will open in Fall 2019 in private space. Further, we assume the space will be leased for the duration of the first charter term. Our preferred siting is in public incubation space for a period up to three years, or a long-term co-location. We do assume funding support from NYCDOE. A fundamental component of our efforts to obtain a viable commercial space is the legislation mandating facility support for schools denied co-location space.

According to the New York City Charter School Center, rental assistance will be provided for eligible schools at “the lesser of 30% of the per pupil funding allocation or actual total rent costs.”

Board Member Names and Biographical Summaries

Steve Barr Founded Green Dot Public Schools in 1999 and served as its Chief Executive Officer. Mr. Barr held a number of leadership positions in political and social service organizations. In 1990, Mr. Barr co-founded Rock the Vote. Mr. Barr hosted President Clinton's National Service Inaugural event, which led to the creation of Americorps. He then oversaw an Americorps after-school program project in South Central and East Los Angeles that focused on helping single mothers transition off of welfare. Mr. Barr has been active in politics throughout his professional career, serving several presidential campaigns and as a finance chair for the Democratic Party. Additionally, Mr. Barr helped drive political change through television, as a national correspondent on the nationally syndicated Disney-produced "The Crusaders", as a contributor to Discovery Channel's "Why Things Are?", and as a writer in national magazines such as George. Steve authored "The Flame: An Unlikely Patriot Finds a Country to Love" (Morrow, 1987). Mr. Barr is a State Board of Education appointee to the Advisory Commission on Charter Schools, where he provides policy recommendations to the State Board of Education on charter school-related issues. Mr. Barr formerly served as Chairman of the Board of Green Dot Public Schools. Mr. Barr is the chair of the UPCHS board of trustees.

Burton Sacks, the former chief executive of the Board of Education of the City of New York and the former senior assistant to the president of the United Federation of Teachers, joined City University of New York as Deputy Chief Operating Officer for Management Services in 2008. As the Deputy Vice Chancellor for Operations in the Office of University Relations, Mr. Sacks provides administrative oversight of the Office of Communications and Marketing, the Office of State Relations in Albany, CUNY-TV and Citizenship Now! He also serves as an adviser to the Chancellor on special projects. In his 33 years with the New York City Board of Education, Sacks served under five chancellors and for a decade, from 1992 through 2002, was its chief executive. During his tenure, he had direct responsibility for the Office of Community School District Affairs, the Office of Monitoring, the Office of Special Projects, Nonpublic School Reimbursable Programs, Office of Zoning, Office of Student Safety and Prevention Programs and the Office of Charter Schools. He also was the liaison for the New York City Police Department's Office of School Safety. In his work for the New York City Board of Education, Mr. Sacks supervised employees and oversaw and monitored budgets while acting as a liaison to the community school districts. After leaving the board in 2002, he became the senior adviser to the president of the United Federation of Teachers. He held that post until coming to CUNY. Mr. Sacks holds a professional diploma in educational administration from Yeshiva University. In addition to a bachelor's degree and two master's degrees from Long Island University, he did post-graduate study at New York University's Graduate School for Public Administration.

Mr. Gideon Stein is Founder of LightSail Inc and serves as its Chief Executive Officer. Mr. Stein serves as the Managing Partner of RestructureOne. Mr. Stein serves as Vice President of Messagelabs Ltd. Mr. Stein Co-founded Omnipod Inc. in 1999 and served as its Chief Executive Officer. Mr. Stein served as Co-Chief Executive Officer of Omnipod Inc. He is an Entrepreneur and Founding Partner of Monkey Rock Ventures, a private investment firm with a portfolio of companies concentrated in media, commerce, and software, including 360merch.com (sold to iPROMOTEu), Blue Media Ventures, and E! the Magazine (a joint venture with Interpublic Group of Companies and E! Entertainment Television). Mr. Stein serves as a Director of Omnipod Inc., IF Holdings LLC and directors of the Moriah Fund. Mr. Stein also served on the board of directors of the Real Silk Investment Company, a publicly traded regulated investment company, until its sale to Lord Abbett Affiliated Funds. Mr. Stein received his BA in Economics and History from the Wesleyan University.

RANDI WEINGARTEN is president of the 1.6 million-member American Federation of Teachers, AFL-CIO, which represents teachers; paraprofessionals and school-related personnel; higher education faculty and staff; nurses and other healthcare professionals; local, state and federal government employees; and early childhood educators. The AFT champions fairness; democracy; economic opportunity; and high-quality public education, healthcare and public services for students, their families and communities. The AFT and its members advance these principles through community engagement, organizing, collective bargaining and political activism, and especially through members' work. Prior to her election as AFT president in 2008, Weingarten served for 12 years as president of the United Federation of Teachers, AFT Local 2, representing approximately 200,000 educators in the New York City public school system, as well as home child care providers and other workers in health, law and education. In 2013, the New York Observer named Weingarten one of the most influential New Yorkers of the past 25 years. Washington Life magazine included Weingarten on its 2013 Power 100 list of influential leaders.

Other

JUDITH BERGTRAUM is Vice Chancellor for Facilities Planning, Construction and Management for the City University of New York. Since 2007, Judith Bergtraum has been directly involved with the management of CUNY's multibillion dollar capital program," said Chancellor James B. Milliken, who recommended the appointment of Bergtraum to the Board. "She has a firm grasp of both the intricacies and the creative aspects of administering a comprehensive construction and renovation program of importance to every campus."

Bergtraum has served as deputy to Vice Chancellor Iris Weinshall, who is leaving to become the chief operating officer of the New York Public Library. She also served as Weinshall's first deputy commissioner at the New York City Department of Transportation and, before that, as deputy commissioner, performance and management accountability. As first deputy, Bergtraum managed 4,500 staffers and a \$450 million expense and \$1.5 billion capital budget.

She held management posts with the city's Department of Citywide Administrative Services: deputy commissioner, Division of Municipal Supply Services; first assistant commissioner, Division of Municipal Supply Services; and assistant commissioner, strategic planning. In the Mayor's Office of Operations, she was assistant director, project management and productivity; and assistant director, citywide services.

She also was deeply involved with the city's public education system, starting as an elementary and special education teacher before moving into administrative posts in special education with the former Board of Education. She also was an elected member of Community School Board 25 in Queens and president of Community Education Council District 25. She has also served on the Mayor's Panel for Education Policy and is a member of the Board of Trustees of the Queens Library.

PROPOSED SCHOOL NAME:		University Prep Charter Middle School									
Proposal Request	Are you incorporating by reference?		This response applies to:			Does the incorporated material require any revisions?			Specific exhibit or document being incorporated by reference	Year of Source File	
	Yes	No	All Schools	Proposed School	N/A	Yes	No	N/A			
	Place an "X" in the appropriate column to indicate whether this response incorporates any documents by reference.		Place an "X" in the appropriate column to indicate whether this response applies to all schools in the education corporation, or only the proposed school.			Place an "X" in the appropriate column to indicate whether the incorporated material requires any revisions. If yes, include revisions in proposal Response.			Provide the name, title, filename, etc. of materials that you are incorporating. If you are referencing a subsection of a document, please identify the section as specifically as possible.	List the most recent year material was approved or updated.	
Sample Response	x		x			x			Renewal Application, Response D, Benchmark 1B, Assessment Data	2013	
1(a) Community Description and Need			All applicants must provide a Response to this Request.								
1(b) Programmatic Impact			All applicants must provide a Response to this Request.								
1(c) Fiscal Impact			All applicants must provide a Response to this Request.								
2(a) Mission		x									
2(b) Key Design Elements		x									
2(c) Draft Accountability Plan			All applicants must provide a Response to this Request.								
3(a) Applicant Information			All applicants must provide a Response to this Request.								
3(b) Proposal History			All applicants must provide a Response to this Request.								
3(c) List of Founding Team Members			All applicants must provide a Response to this Request.								
3(d) Founding Board Members			All applicants must provide a Response to this Request.								
3(e) Description of Outreach			All applicants must provide a Response to this Request.								
3(f) Withdrawn, Rejected and Concurrent Proposals (SUNY and/or other authorizers)			All applicants must provide a Response to this Request.								
3(g) Letter of Justification for Previously Denied Applications			All applicants must provide a Response to this Request.								
3(h) Founding Team Resumes		x									
3(i) Board Member Resumes and RFIs		x									
3(j) Outreach Evidence			All applicants must provide a Response to this Request.								
4(a) School Enrollment Plan			All applicants must provide a Response to this Request.								
4(b) Student Enrollment Chart			All applicants must provide a Response to this Request.								
4(c) Statistical Overview - Existing Schools			All applicants must provide a Response to this Request.								
5(a) Curriculum Selection and Processes		x									
5(b) Assessment System		x									
5(c) Instructional Methods		x									
5(d) Course or Subject Overview		x									
5(e) Promotion and Graduation Policy		x									
5(f) Programmatic Audits		x									
6(a) School Calendar		x									
6(b) Sample Student Schedule		x									
6(c) Sample Teacher Schedule		x									
7(a) Struggling Students		x									
7(b) Students with Disabilities		x									
7(c) English Language Learners		x									
7(d) Gifted and Advanced Students		x									
8(a) Instructional Leadership Roles		x									
8(b) Teacher Support and Supervision		x									
8(c) Professional Development		x									
8(d) Teacher Evaluation and Accountability		x									
9(a) Culture and Discipline		x									
9(b) Discipline Policy		x									
9(c) Special Education Policy		x									
9(d) Dress Code		x									
10(a) Organizational Chart			All applicants must provide a Response to this Request.								
10(b) School Leadership and Management Structure			All applicants must provide a Response to this Request.								
11(a) Staffing Chart and Rationale			All applicants must provide a Response to this Request.								
11(b) Qualifications and Responsibilities	x								2017 Charter Renewal	2017	
11(c) Staff Recruitment and Retention	x								2017 Charter Renewal	2017	
11(d) Personnel Policies	x								Staff Handbook_University Prep Charter High School	2017	
12(a) Partner Information		x									
12(b) Partner Commitment			All applicants must provide a Response to this Request.								
13(a) EdCorp Board Roles & Responsibilities	x								Governance_Structure_Board Biographies	2017	
13(b) Education Corporation Board Design	x								Governance_Structure	2017	
13(c) Stakeholder Participation	x										
13(d) By-laws	x								Exhibit H	2017	
13(e) Code of Ethics	x								Exhibit I	2017	
13(f) Complaint Policy		x									
14(a) District Relations			All applicants must provide a Response to this Request.								
14(b) Community Relations			All applicants must provide a Response to this Request.								
15(a) General Student Population			All applicants must provide a Response to this Request.								
15(b) Target Population Enrollment			All applicants must provide a Response to this Request.								
15(c) Evidence of Demand			All applicants must provide a Response to this Request.								
15(d) Community Support			All applicants must provide a Response to this Request.								
15(e) Evidence of Community Support			All applicants must provide a Response to this Request.								
15(f) Admissions Policy		x									
16(a) Facility Needs			All applicants must provide a Response to this Request.								
16(b) Facility Selection			All applicants must provide a Response to this Request.								
16(c) Facility Related Conflicts of Interest			All applicants must provide a Response to this Request.								
16(d) Additional Facility Information			All applicants must provide a Response to this Request.								
17 Food Services		x									
18 Health Services		x									
19 Transportation		x									
20 Insurance		x									
21(a) Budget Narrative			All applicants must provide a Response to this Request.								
21(b) Financial Planning	x								Fiscal Plan_University Prep Charter High School	2017	
21(c) Fiscal Audits	x								Audited Financial Statements	2017	
21(d) Dissolution Procedures	x								Dissolution_University Prep Charter High School	2017	
21(e) Budget Template			All applicants must provide a Response to this Request.								
21(f) Letters of Commitment			All applicants must provide a Response to this Request.								
21(g) Non-SUNY Financials			All applicants must provide a Response to this Request.								
22 Action Plan			Have you included an action plan?			x					
23(a) Supplemental Narrative			Have you included a supplemental narrative?								
23(b) Supplemental Attachments			Have you included supplemental information?								
Business Plan			All replicating applicants must provide a Business Plan.								

University Prep Charter Middle School
R-01ac – Community Need and Proposed School Impact

(a) Community Description and Need

University Prep Public Schools will target communities in Community School District 7 (South Bronx) for middle school enrollment at University Prep Charter Middle School (UPCMS). Our current school, University Prep Charter High School (UPCHS) is located at 600 St. Ann’s Avenue in the heart of CSD 7. The district is home to nearly 20,000 students. Of the district’s 41 traditional public schools, 40 are Title I eligible. The SY ’18 Free Lunch percentage is 90.12%. Ninety-three percent of students are economically disadvantaged. Nearly one-fourth are students with disabilities (23.2%); another 16.6% have limited English proficiency. The 16th Congressional District is the nation’s poorest. In analyzing demographic data by zip code and state electoral districts (Senate District 32; Assembly District 84), we observe extended patterns consistent with intergenerational and systemic poverty.

Within zip code 10455, median income is less than \$23,000. Only three zip codes in the city fare worse. Income even among the top 5 percent in this district is still 70 percent lower than the city average. In the bottom quintile, residents here earn 50 percent less the city average. Median household income by ethnicity skews sharply below citywide levels. On average, Hispanic households report annual income of \$22,300 (significantly below the group’s citywide average of nearly \$40,000).

The 84th Assembly district and 32nd Senate district each rank among the poorest electoral districts in New York State. The overall demographic profile of these overlapping administrative and political districts (See *Table 3: CSD 7 Middle School Profile 1*) is daunting and reinforces the power and effectiveness of our model as a beacon of tremendously high achievement.

In 2017, only one in five students in CSD 7 achieved proficiency on the New York State English Language Arts (ELA) assessment; a mere 11 percent met the mark in mathematics. According to the 2017-2018 District Comprehensive Education Plan (DCEP), “District 7 has been identified by NYSED as a Focus District for performance and having one or more Focus/Priority schools. Eight schools have been identified as Priority Schools. Additional accountability status for Priority Schools are as follows: 2 Renewal, 1 Persistently Struggling. Eleven schools have been identified as Focus Schools. CSD 7 middle schools are listed below, including their facility status, enrollment, ELA and math proficiency, and feeder status to district high schools.

The DCEP reported a precipitous drop in average student attendance between grade 7 (91.14%) to grade 9 (81.42%).

(b) Table 1: CSD 7 Middle School Profile 1

School Name	School Number	Location (Public (co- location school numbers) or Private)	2017 Middle School Grades (Enr.)	2017 ELA Proficiency	2017 Math Proficiency	Feeder School (Elem or High)
American Dream Charter School	84X471	Public 07X030	6-8 (242)	34	30	High
The Laboratory School of Finance and Tech	07X223	Public 07X221	6-8 (302)	41	40	High

University Prep Charter Middle School
R-01ac – Community Need and Proposed School Impact

School Name	School Number	Location (Public (co- location school numbers) or Private)	2017 Middle School Grades (Enr.)	2017 ELA Proficiency	2017 Math Proficiency	Feeder School (Elem or High)
Academy of Applied Math and Technology	07X343	Public 07X224 07X334	6-8 (302)	38	31	
South Bronx Prep: A College Board School	07X221	Public 07X223	6-8 (281)	30	19	High
Hostos Lincoln Academy (Focus School)	07X500	Public 75X010 84X393	6-8 (175)	32	16	High
South Bronx Academy for Applied Media (Priority School)	07X296	Public 07X379 75X017	6-8 (296)	18	9	
South Bronx Early College Academy Charter School	84X492	Private (new)	6-7 (226)	10	6	Planned H.S.
Academy of Public Relations	07X298	Public 07X296 07X379 75X017	6-8 (256)	13	7	
Urban Assembly Bronx Academy of Letters (Focus School)	07X551	Public 75X168 84X493)	6-8 (251)	16	4	High
PS/IS 224 (Focus School)	07X224	Public 07X334 07X343	6-8 (389)	11	4	
JHS 151 Lou Gehrig	07X151	Public 07X031 84X704	6-8 (245)	11	4	
JHS 162 Lola Rodriguez de Tio (Closed)	07X162	Public	6-8 (380)	10	3	
PS/IS 5	07X005	Public	5-8 (326)	18	14	
M.S. 584 (Newly opened in 2017-2018)	07X584	Public 84X393 75X010	6-8 (365)	N/A	N/A	

Source: New York City Department of Education, 2017 School Performance Dashboards available online at <http://tools.nycenet.edu>

At the end of the 2016-17 school year, J.H.S. 162 closed by mutual agreement between the New York State Education Department (NYSED) and New York City. Students from the closed school were enrolled at various middle schools across the district. Some students were enrolled in the newly formed middle school in the same facility.

University Prep Charter Middle School
R-01ac – Community Need and Proposed School Impact

Five CSD 7 middle schools serve as feeder schools to existing high schools in the district. UPCHS outperforms each of the existing high schools in the district. We believe our track record of academic excellence will increase the appeal of UPCMS.

(c) Programmatic Impact

University Prep Charter Middle School will make a programmatic impact on UPCHS and schools in the district. In the first instance, by seeking to attract students in grade 4 to enroll in grade 5 by 2019-20, we may be ushering in a new era within the district. All of the CSD 7 middle schools begin at 6th grade. Parents who enroll at UPCMS may perceive themselves as “early adopters” who gaining a double advantage. First, by selecting a middle school earlier, they increase their chances of enrolling in a school of choice. Second, the parents may well opt to continue on at UPCHS. The prospect of reducing school changes and establishing continuity as early as the spring exiting 4th grade should be attractive.

Also, whereas UPCHS has established a great reputation with middle schools across the district, and frequently provided one of the better referral options, we will now be competing directly with many of those same schools. UPCMS’ outreach team will reach out to a level lower than we have previously.

(d) Fiscal Impact

The education corporation and University Prep Charter Middle School are projected to make a minor fiscal impact on the overall New York City school district. Whereas the district budget exceeds \$30.B, the projected fiscal impact never exceeds .05 percent.

5-YEAR FISCAL IMPACT REPORT

Largest Enrollment District: NYC CHANCELLOR'S OFFICE							
A	B	C	D (B X C)	E	F (D + E)	G	H (F ÷ G)
Operational Year	Enrollment (Number of Students)	Per Pupil Rate	Per Pupil Aid	Other District Revenue (SPED Funding, Food Service, Grants, Etc.)	Total Funding to Charter School From District	* Total General Fund Operating Budget for NYC CHANCELLOR'S OFFICE School District	Proj. Impact (% of District's Total Budget)
Year 1 (2019-20)	614	15,827	9,717,778		9,717,778	30,800,000	0.032%

University Prep Charter Middle School
R-01ac – Community Need and Proposed School Impact

Year 2 (2020-21)	738	16,144	11,913,933	-	11,913,933	30,800,000,000	0.039%
Year 3 (2021-22)	892	16,466	14,688,038	-	14,688,038	30,800,000,000	0.048%
Year 4 (2022-23)	892	16,631	14,834,919	-	14,834,919	30,800,000,000	0.048%
Year 5 (2023-24)	926	16,631	15,400,375	-	15,400,375	30,800,000,000	0.050%

DESCRIPTION OF SOURCE FOR PRIMARY DISTRICT'S OPERATING BUDGET:	Source: http://schools.nyc.gov/AboutUs/funding/overview/default.htm . NYCDOE projects a budget of \$30.8 billion for the 2017-2018 school year.
OTHER NOTES:	

University Prep Charter Middle School
R-02ab -- Addressing Need

(a) Mission

The University Prep Charter Middle School has as its mission to prepare students for success in high school, college, leadership and life. Ensuring growth in all three areas is our professional commitment and privilege. UPCMS (or “the School”) achieves this mission by creating small, college-preparatory learning communities where all stakeholders (administrators, teachers, parents, students and community) actively engage in the education process. We create a student-centered environment that unifies the efforts of family, community and school to foster life-long learning, cross-cultural competency, social responsibility and academic excellence. The underlying belief at UPCMS is that all students can go to college and that their preparation is our professional responsibility and moral obligation.

(b) Key Design Elements

University Prep Charter Middle School will adopt and implement the same key design elements as our sister school, University Prep Charter High School. The combined statement on alignment refers to University Prep Public Schools (UPPS).

A Shared Commitment to Academic Excellence – The UPPS community of stakeholders shares a commitment to academic excellence. We design and decide together. At UPPS, we prioritize our commitment to teacher voice and agency through our community decision-making model of distributed leadership. Distributed leadership means instructional decision-making is shared and extended between administrators and faculty; and, that responsibility for excellence is held by those with expertise. Anchored in our unique partnership with the United Federation of Teachers, our model provides systemic, mission-aligned opportunities for teachers to share responsibilities and lead various initiatives. To sustain and extend the effectiveness of our practice, we collaborate on the design of professional development opportunities. We ensure professional development provides teachers with timely, relevant and challenging content within structures inter-visitation, coaching, mentorship, small group leadership, etc.) created by and for teachers. We measure our shared commitment to excellence through multiple data points, including teacher turnover rate.

Powerful Teaching and Learning – The UPPS instructional program delivers powerful teaching and learning throughout our community. To assess the power or impact of our teaching and learning we begin with an empirical foundation of data. Our administrators and faculty convene structured, data-rich meetings to benchmark performance and evaluate progress. Department team meetings, grade-level team meetings and inquiry groups inform our instructional decision-making and shape our approach to ongoing schoolwide impact analysis. Two cornerstones of our work are Integrated Co-Teaching (ICT) and our Problem-Solving methodology. Our ICT model places two certified teachers (one general education, one special education) in a single classroom. The model increases the individual attention for students, reduces our teacher-to-student ratio, and leverages the skills of highly-trained special education teachers in building comprehensive and collaborative solutions for all learners. The model also allows students with IEPs to receive instruction from a content specialist rather than a special educator.

Other products of our collaboration include potent programmatic approaches such as, but not limited to:

- Freshman and sophomore composition class. Our instructional teams ascertained that incoming students would benefit from a standards-based, rigorous writing class centered on improving

University Prep Charter Middle School
R-02ab -- Addressing Need

reading comprehension, structured writing prowess and general literacy skills. The course, taken once weekly, accelerates learning for new students who often join the UPCHS family facing hurdles of uneven, interrupted or incomplete schooling.

- Block scheduling. The foundation of academic rigor is stamina. We encourage the development of powerful teaching and learning through scheduling double periods. Our approach permits teachers to build instructional depth and encourages students to make ongoing and meaningful inquiries and contributions within expanded lessons. The instructional depth of our seminar and project-based initiatives aligns with and prepares our students to meet and exceed NYS standards across the curriculum. Moreover, the scheduling encourages the formation of habits of mind that are transferable to co-curricular and extra-curricular activities.
- Advanced Placement courses. We currently offer AP instruction in Composition, Literature, Biology, Spanish and Government. In the next charter term, our AP offerings will include Math and Computer Science. UPCHS faculty are committed to preparing our students for academic success in rigorous and demanding collegiate environments. To achieve this goal, we have thoughtfully developed courses aligned with the strong foundation provided by our traditional curriculum.

We have also developed several other high impact approaches for students. Faculty hold weekly office hours with students. At UPCHS, students use office hours to build rapport with faculty, to probe deeply and build on knowledge acquired in class, to seek clarification on open questions, and to strengthen bonds within and across the community. We run a Saturday Academy to provide additional academic support for students throughout the year. Our Summer Bridge program, like the composition class, is a formal structure to mitigate the challenges faced by our incoming students. In partnership with CUNY, we offer College Now courses to introduce our students to the expectations and routines of higher education, while earning academic credit. UPCHS students have achieved a 98% graduation rate and 100% college acceptance rate. Across our campus, we expect college enrollment and success. Our teams work internally, and with external partners, to broaden and illuminate the path for our students.

Inclusive School Culture – The integrity of the UPCCS learning community is rooted in our commitment to an inclusive school culture. We affirm “inclusion” as our shared point of departure, or beginning, in all communication and interactions within the community. Inclusion looks and feels like a thoughtful, principled commitment to practice and reinforce our core values by considering and respecting the true diversity (visible and invisible, spoken and unspoken) at UPPS. Students work towards a set of four core values that keep them on course to be successful at the college of their choice and beyond. “The Core Four” are:

- Accepting Personal Responsibility: students see themselves as the primary cause of their outcomes and experiences
- Discovering Self-Motivation: students find purpose in their lives by discovering personally meaningful goals and dreams
- Mastering Self-Management: students plan for and take purposeful actions in pursuit of their goals and dreams

University Prep Charter Middle School
R-02ab -- Addressing Need

- **Creating Positive Interdependence:** students build mutually supportive relationships that help them to achieve their goals and dreams – while helping others do the same

We conduct regular Town Hall meetings. These monthly gatherings are shared celebrations of success within our learning and service communities. We present honor roll certificates and attendance awards. Students also showcase their talents in the performing arts. We have built rich, layered support structures wherein four counselors provide support services and loop with our students to ensure stability and to strengthen interpersonal connections.

Student Leadership and Character Development – Fulfilling the mission of UPCHS calls for administrators and faculty to embody and instill principles of student leadership and character development. We model our ideals through a daily advisory period wherein students receive explicit instruction on essential skills such as life management, college readiness, and reducing risk factors. We supplement this instruction by providing students with opportunities to lead and demonstrate character through faculty-led clubs and athletics. Clubs include Spanish Honor Society, UPPS Pillars (Boys Club), Music Club and the Dance and Movement Club. Extensive athletics offerings include basketball and soccer (boys and girls), baseball (boys), softball (girls), and cheerleading. In addition to the opportunities to lead during the academic year, students can demonstrate their acquired skills as Summer Bridge Assistants who welcome and guide incoming students to the UPCHS community.

Family and Community Involvement – At UPPS, our model of family and community involvement comprises five traditional methods of information sharing and collaborative decision-making: parent association meetings, back-to-school night, introduction to college night, enrollment meetings and quarterly parent-teach conferences. Each of these structured events allow parents and families to be informed members of the school community. To ensure ongoing access to accurate and timely information, we deploy the PowerSchool school information platform and conduct seminars to train parents in using the platform, as well as e-mail.

**University Prep Charter Middle School
Accountability Plan
for the Accountability Period 2019-20 TO 2023-24**

ACADEMIC GOALS

GOAL I: ENGLISH LANGUAGE ARTS

Goal: All students at the school will become proficient in reading and writing of the English language.

Absolute Measures

Middle School

- Each year, 75 percent of all tested students who are enrolled in at least their second year will perform at proficiency on the New York State English language arts exam for grades 3-8.
- Each year, the school's aggregate Performance Level Index (PLI)¹ on the state English language arts exam will meet that year's Annual Measurable Objective (AMO) set forth in the state's NCLB accountability system.

Comparative Measures

Middle School

- Each year, the percent of all tested students who are enrolled in at least their second year and performing at proficiency on the state English language arts exam will be greater than that of students in the same tested grades in the local school district.
- Each year, the school will exceed its predicted level of performance on the state English language arts exam by an Effect Size of 0.3 or above (performing higher than expected to a small degree) according to a regression analysis controlling for economically disadvantaged students among all public schools in New York State.

Growth Measures

Middle School

- Each year, under the state's Growth Model the school's mean unadjusted growth percentile in English language arts for all tested students in grades 4-8 will be above the state's unadjusted median growth percentile.

¹ In contrast to SED's Performance Index, the PLI does not account for year-to-year growth toward proficiency.

GOAL II: MATHEMATICS

Goal: All students at the school will demonstrate competency in the understanding and application of mathematics computation and problem solving.

Absolute Measures

Middle School

- Each year, 75 percent of all tested students who are enrolled in at least their second year will perform at proficiency on the New York State mathematics exam for grades 3-8.
- Each year, the school's aggregate Performance Level Index (PLI)² on the state mathematics exam will meet that year's Annual Measurable Objective (AMO) set forth in the state's NCLB accountability system.

Comparative Measures

Middle School

- Each year, the percent of all tested students who are enrolled in at least their second year and performing at proficiency on the state mathematics exam will be greater than that of students in the same tested grades in the local school district.
- Each year, the school will exceed its predicted level of performance on the state mathematics exam by an Effect Size of 0.3 or above (performing higher than expected to a small degree) according to a regression analysis controlling for economically disadvantaged students among all public schools in New York State.

Growth Measures

Middle School

- Each year, under the state's Growth Model the school's mean unadjusted growth percentile in mathematics for all tested students in grades 4-8 will be above the state's unadjusted median growth percentile.

GOAL III: SCIENCE

Goal: All students at the school will demonstrate competency in the understanding and application of scientific reasoning.

² In contrast to SED's Performance Index, the PLI does not account for year-to-year growth toward proficiency.

University Prep Charter Middle School
R-02c – Accountability Plan

Absolute Measures Middle School

- Each year, 75 percent of all tested students who are enrolled in at least their second year will perform at proficiency on the New York State science exam.

Comparative Measures

Middle School

- Each year, the percent of all tested students who are enrolled in at least their second year and performing at or above proficiency on a state science exam will be greater than that of students in the same tested grades in the local school district.

GOAL IV: NCLB

Goal: The school will make Adequate Yearly Progress.

Absolute Measure

- Under the state's NCLB accountability system, the school is in good standing: the state has not identified the school as a Focus School nor determined that it has met the criteria to be identified as a local assistance plan school.

University Prep Charter Middle School
R-03af – Proposal History

(a) Applicant Information

The applicant is an existing SUNY-authorized education corporation seeking authority to operate an additional school within its existing corporate structure. Ms. Andrea d’Amato, principal at University Prep Charter High School since 2015, is the lead applicant.

(b) Proposal History

University Prep Charter High School is a SUNY-authorized education corporation seeking authority to operate additional schools. This request is not applicable.

(c) Application Team Members

Founding Team Members (Other than Trustees)		
Name	Relevant Experience, Skills and Role in Founding Group	Proposed Role(s) in School
Ms. Andrea d’Amato	School Principal. Organizational leadership, instructional leadership.	Superintendent of UPPS, Inc.
Ms. Deborah Raji	AP for Operations at UPCHS. Operations leadership, logistics, community engagement.	AP for Operations at UPCHS.
Mr. David Patterson	Middle School Assistant Principal. Instructional leadership, curriculum, professional development.	Principal at UPCMS.
Benjamin & Young, LLC	Former authorizer, Proposal development, business plan development.	N/A

(d) Board Members

PROPOSED BOARD MEMBERS					
TRUSTEE NAME	POSITION ON THE BOARD (OFFICER OR CONSTITUENT REPRESENTATIVE)	COMMITTEE AFFILIATIONS (IF ANY)	AREA OF EXPERTISE AND/OR ROLE AT SCHOOL (PARENT, STAFF, ETC.)	VOTING	EX-OFFICIO
Steve Barr	Chair/Board President	Governance	Finance	Y	N
Burton Sacks	Vice Chair/Vice President	Governance, Finance	Operations, Finance	Y	N

University Prep Charter Middle School
R-03af – Proposal History

Gideon Stein	Secretary	Finance, Academic	Academic, Finance	Y	N
Randi Weingarten	Member	Executive, Governance, and Academic	Academic, Finance	Y	N
Judith Bergtraum	Treasurer	Academic, Facilities	Academic, Facilities, Finance	Y	N
Teacher – TBD	Member	Academic	Academic	Y	Y

(e) Description of Community Outreach Efforts

University Prep Charter Middle School has just initiated community outreach efforts to determine overall interest in the proposed academic program and the projected school design.

(f) Proposal History

This proposal has not been previously submitted, withdrawn, or rejected by SUNY Trustees. This proposal has not been previously submitted, withdrawn, or rejected by any other charter entity.

University Prep Charter Middle School
R-03g – Letters of Justification

This request is not applicable.

University Prep Charter Middle School
R-03h – Founding Team Resumes

No new founding team members have been added since the submission of the Letter of Intent.

University Prep Charter Middle School
R-03j – Outreach Evidence

See attached files for outreach evidence.

University Prep Charter Middle School
R-03i – Board Member Credentials

No additional trustees have been added to the University Prep Charter Middle School board since the submission of the Letter of Intent.

One board seat will be reserved for a teacher to join the board of University Prep Charter Middle School.

University Prep Charter Middle School
R-04ab – Enrollment

(a) Enrollment

The education corporation is seeking approval to establish University Prep Charter Middle School and enroll 184 students in Year 1. Of those first-year students, 60 would enroll in grade 5. One hundred and twenty-four would enroll in grade 6. Our enrollment plan anticipates adding approximately grade 6 students in Year 2, 60 grade 5 students, and retaining a high percentage of rising 7th graders from Year 1. Our plan increases enrollment from 308 in Year 2 to 462 in Years 3 and 4. We add a fourth section of grade 5 students in Year 5 for a total enrollment of 496.

The education corporation does not intend to increase middle school enrollment at the end of the charter term or during a subsequent term. We believe that our proposed school size melds nicely with our model, and establishes a sound basis for organizational continuity across both schools. UPCHS enrolls 110 students per grade in grades 9 through 11, and 100 students in grade 12. Throughout the business plan and application, we do consider the implications of facility space on our application. Our intent is to select facilities based on our long-term vision of school size and stability, rather than modify our model to suit a portfolio of available spaces. We are sensitive to the consideration that we project 462 students by Year 3. Please refer to sections on our Facility Plan for a more detailed consideration of this element.

(b) Enrollment Chart

UNIVERSITY PREP PUBLIC SCHOOLS, INC.

**2019-20 through
2023-24**

CHARTER ENROLLMENT BY GRADE							
GRADES	LEVEL	2019-20	2020-21	2021-22	2022-23	2023-24	AGE RANGE
Kindergarten	Elementary School						
1st Grade	Elementary School						
2nd Grade	Elementary School						
3rd Grade	Elementary School						
4th Grade	Elementary School						
5th Grade	<i>Middle School</i>	60	60	90	90	124	10-12
6th Grade	Middle School	124	124	124	124	124	11-13
7th Grade	Middle School		124	124	124	124	12-14

University Prep Charter Middle School
R-04ab – Enrollment

8th Grade	Middle School			124	124	124	13-15
9th Grade	High School	110	110	110	110	110	14-16
10th Grade	High School	110	110	110	110	110	15-17
11th Grade	High School	110	110	110	110	110	16-18
12th Grade	High School	100	100	100	100	100	17-19
Ungraded							
TOTAL		614	738	892	892	926	

NUMBER OF CLASSES BY GRADE						
GRADES	LEVEL	2019-20	2020-21	2021-22	2022-23	2023-24
Kindergarten	Elementary School					
1st Grade	Elementary School					
2nd Grade	Elementary School					
3rd Grade	Elementary School					
4th Grade	Elementary School					
5th Grade	Middle School	2	2	3	3	4
6th Grade	Middle School	4	4	4	4	4
7th Grade	Middle School		4	4	4	4
8th Grade	Middle School			4	4	4
9th Grade	High School	4	4	4	4	4
10th Grade	High School	4	4	4	4	4
11th Grade	High School	4	4	4	4	4
12th Grade	High School	4	4	4	4	4
Ungraded						
TOTAL		22	26	31	31	32

AVERAGE NUMBER OF STUDENTS PER CLASS BY GRADE						
GRADES	LEVEL	2019-20	2020-21	2021-22	2022-23	2023-24

University Prep Charter Middle School
R-04ab – Enrollment

Kindergarten	Elementary School	0	0	0	0	0
1st Grade	Elementary School	0	0	0	0	0
2nd Grade	Elementary School	0	0	0	0	0
3rd Grade	Elementary School	0	0	0	0	0
4th Grade	Elementary School	0	0	0	0	0
5th Grade	Middle School	30	30	30	30	31
6th Grade	Middle School	31	31	31	31	31
7th Grade	Middle School	0	31	31	31	31
8th Grade	Middle School	0	0	31	31	31
9th Grade	High School	28	28	28	28	28
10th Grade	High School	28	28	28	28	28
11th Grade	High School	28	28	28	28	28
12th Grade	High School	25	25	25	25	25
Ungraded		0	0	0	0	0

SUMMARY AND OTHER INFORMATION					
Total Elementary Enrollment	-	-	-	-	-
Total Middle School Enrollment	184	308	462	462	496
Total High School Enrollment	430	430	430	430	430
Total Ungraded Enrollment	-	-	-	-	-
Total Enrollment	614	738	892	892	926
Change in Net Enrollment from Prior Year (Count)	614	124	154	-	34
Change in Net Enrollment from Prior Year (Percent)	100.0%	20.2%	20.9%	0.0%	3.8%

University Prep Charter Middle School
R-04ab – Enrollment

Anticipated rate of attrition (Percent)	3.0%	3.0%	3.0%	3.0%	3.0%
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ADDITIONAL NOTES/COMMENTS
UPCMS will serve students in grades 5 and 6 in Year 1. Grade 5 will enroll two classes of up to 30 students. Grade 6 will enroll 4 classes of up to 31 students. In Year 2, UPCMS will add grade 7. In Year 3, we will add Grade 8, and a third class to grade 5, increasing enrollment to 462 students. In Year 5, we will reach maximum enrollment of 496 students serving 4 classes in each of grades 5 through 8. We conservatively estimate annual student attrition of three percent.

ESTIMATED ENROLLMENT BY DISTRICT						
ANNUAL ENROLLMENT BY DISTRICT TOTALS		614	738	892	892	926
Enrollment by Grade vs Enrollment by District (should = 0)		-	-	-	-	-

ENTER NUMBER OF SCHOOL DISTRICTS ANTICIPATED: -->	1
---	----------

PRIMARY SENDING SCHOOL DISTRICT	NYC CHANCELLOR'S OFFICE	2019-20	2020-21	2021-22	2022-23	2023-24
DISTRICT'S ANNUAL TOTAL OPERATING BUDGET		\$ 30,800,000,000	\$ 30,800,000,000	\$ 30,800,000,000	\$ 30,800,000,000	\$ 30,800,000,000
ENROLLMENT (Charter School)		614	738	892	892	926
DESCRIPTION OF SOURCE FOR DISTRICT'S OPERATING BUDGET (Include web address if available)		Source: http://schools.nyc.gov/AboutUs/funding/overview/default.htm . NYCDOE projects a budget of \$30.8 billion for the 2017-2018 school year.				

SECONDARY SENDING SCHOOL DISTRICT	Select from drop-down list →	2019-20	2020-21	2021-22	2022-23	2023-24
DISTRICT'S ANNUAL TOTAL OPERATING BUDGET		\$ -	\$ -	\$ -	\$ -	\$ -
ENROLLMENT (Charter School)						

University Prep Charter Middle School
R-04ab – Enrollment

DESCRIPTION OF SOURCE FOR DISTRICT'S OPERATING BUDGET (Include web address if available)	
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SCHOOL STATISTICAL OVERVIEW

SCHOOL NAME: UNIVERSITY PREP CHARTER HIGH SCHOOL

	2012-13	2013-14	2014-15	2015-16	2016-17
Enrollment^[1]					
Total Enrollment	355	376	400	407	
Number of Students with Disabilities	52	67	69	75	
Number of English language learners	41	44	39	37	
Number of Economically Disadvantaged Students	328	339	345	316	
Retention^[2]					
Total Number of Students Eligible to Return from Previous Year ^[3]	258	272	291	317	
Total Number of Eligible Students Who Returned from Previous Year	243	263	281	304	
Number of Students with Disabilities Eligible to Return from Previous Year ^[4]	32	44	53	58	
Number of Students with Disabilities Who Returned from Previous Year	30	40	51	57	
Number of English language learners Eligible to Return from Previous Year ^[5]	38	34	40	33	
Number of English language learners Who Returned from Previous Year	36	33	37	28	
Number of Economically Disadvantaged Students Eligible to Return from Previous Year	240	245	250	265	
Number of Economically Disadvantaged Students Who Returned from Previous Year	238	240	248	262	
Average Daily Attendance Rate	95%	94%	94%	94%	
Discipline					
Number of In-School Suspensions (Occurrences)	62	32	42	27	
Number of Out of School Suspensions (Occurrences)	0	2	14	17	
Number of In-School Suspensions (unique students)	43	25	36	22	
Number of Out of School Suspensions (unique students)	0	2	12	13	

SCHOOL STATISTICAL OVERVIEW

Number of Expulsions		0	0	1	0
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CURRICULUM AND INSTRUCTION

(a) Curriculum Selection and Processes

The core of University Prep Middle School’s (UP Middle) academic work is threefold: to prepare students to discuss big ideas; to defend their own and others’ opinions; and to find joy in reading and thinking.

UP Middle is a knowledge-led school—the goal of the school is to teach a broad, in-depth set of cultural and historical knowledge that is challenging and vital and that students can successfully commit to long-term memory through instruction and assessment.

To achieve this, our teachers will work closely in teams—across grades and within departments—to create, practice, teach, and analyze lessons **with shared ideas and concepts across courses**, based on an idea that is simple but powerful—that knowledge builds on knowledge.

The most important aspect of UP Middle’s design is that it is purposeful in employing a curriculum that is specific, sequenced, and aligned. The curriculum presents a sequence of study that is organized and distinguished in both breadth and depth—what students learn is coherent, cumulative, and content-specific.

The foundation of all curricular activities at the school is the **Core Knowledge sequence**, a K-8 course of study developed and refined by the Core Knowledge Foundation at the University of Virginia and in use by some of the highest performing middle schools in New York City today—including the Icahn Charter Schools located throughout the Bronx, which have been using Core Knowledge as the backbone of their courses with great success since the schools’ inception in 2001.

The Core Knowledge sequence outlines content and skills that every child should learn in English, history, geography, mathematics, science, music, and the visual arts. It seeks to identify the content and skills that comprise the foundational knowledge that all students need in order to know a lot about the world, to think and read critically, and to solve problems by learning from the past and using knowledge wisely.

Teachers at UP Middle will supplement the ideas and concepts taught in the Core Knowledge sequence with their own lessons and backwards-designed units and project-based performance tasks, developed in the summer during UP University and throughout the year during additional UP University planning periods—in November and March.

When students complete their eighth-grade year of UP Middle, they express a curiosity about the world and the material they have learned over their five years in middle school; they have the confidence to give voice to opinions and beliefs and stand up for themselves; and they exhibit a joy for reading and learning and a wonder for the printed page.

These three broad definitions of what it means for a student to be successful are predicated on the mastery of **six core skills or abilities** that encompass reading, writing, listening, speaking, and numeracy:

1. Students **read** grade-level fiction and non-fiction, across content subject areas, selected by both teachers and themselves, every day, for a sustained period of time;
2. Students **read** fiction and informational texts, across content subject areas, that reflect grade-level complexity and the Common Core State reading standards 1-10;
3. Students demonstrate, through **writing and speaking**, a high level of comprehension when reading or listening, across content subject areas—understanding context and background

knowledge, locating evidence to support answers, and tightly and accurately summarizing material they have read or listened to;

4. Students **argue**—analyze, evaluate, support, and defend—their positions with evidence when *writing and speaking* about appropriately complex issues and topics in their classes, across content subject areas;
5. Students learn the **core algebra strand** defined by the National Council of Teachers of Mathematics;
6. Students **write** expository essays and creative prose that reflect an understanding and mastery of appropriate sentence structure, grammar, usage, and spelling, across content subject areas.

Curriculum Description

The Core Knowledge curriculum is taught to students, grade by grade, year by year, in a coherent, age appropriate sequence. In this way, ideas and concepts—organized in “domains,” or areas of study that have a related set of language and vocabulary—can be logically shared between classes and among grades. Examples of domains might include Westward Expansion, Immigration, Fighting for a Cause, the Cycles of Nature, the Five Senses, Taking Care of the Earth, Romanticism, Lasting Ideas from Ancient Civilization, the Cold War, and Civil Rights.

The domain of World War II might include the study of Picasso’s *Guernica* in the arts; Anne Frank’s “Diary of a Young Girl” and FDR’s “Declaration of War on Japan” speech in literature; the war itself in history and geography; and atomic structure, chemical bonds and reactions, and biographies of atomic physicists in science. The domain of the Vietnam War and the Rise of Social Activism might include the study of the Vietnam Veterans Memorial in the arts, “The Marginal World,” by Rachel Carson in literature, and the Vietnam War itself in history and geography.

Because the core curriculum of UP Middle is coherent, cumulative, and content specific, every child, student, and teacher will know what and when students will be studying for all four years before the first day of school. This information will be transmitted to students and families through the consistent and systematic use of knowledge organizers.

A knowledge organizer is a document that is presented to every student and parent at the start of each unit in every subject area. It specifies in meticulous detail the key content and skills—the subject knowledge—that students must understand and demonstrate in the coming unit in order to master in long-term memory. A knowledge organizer is divided into a variety of sections, which frequently include domain terms; important individuals and groups or events; key dates; critical concepts; and vocabulary words. Knowledge organizers clarify for everyone what is to be taught—teachers, students, and families alike.

Action Plan to Prepare and Practice the Curriculum

Teachers at UP Middle supplement the ideas and concepts taught in the Core Knowledge sequence with their own lessons and backwards-designed units and project-based performance tasks—developed pre-service in the summer during UP University and throughout the year during additional UP University mid-year planning periods—in November and March.

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Teachers work for three weeks in UP University in August to practice and become fluent with Core Knowledge lessons, to create student-facing knowledge organizers for each unit, and to create supplemental materials and performance tasks for the units.

Teachers understand how to effectively implement, supplement, and teach the school's curriculum by participating in three segments of pre-service training focused on the Core Knowledge Curriculum and designing backwards-designed unit plans. The first segment of UP University is broken into three parts, each of which is built around an essential question (EQ): 1) What is the content of the Core Knowledge sequence? 2) How will we integrate the sequence into content-specific areas at the middle school level and support students who were not enrolled in elementary schools built on Core Knowledge sequence? 3) What units, for each subject area, will each middle school student experience in sixth grade, seventh grade, and eighth grade, and how will departments ensure that knowledge builds on knowledge?

To address the first EQ, teachers are provided with an overview of the Core Knowledge sequence and discusses responses to and experiences with the progression of knowledge that builds on knowledge, starting from kindergarten level to grade eight. When teachers understand the progression, we closely examine the sequences and domains at the middle-school level, and collaboratively identify potential gaps in understanding that we account for in our integration of the Core Knowledge curriculum. By identifying potential gaps in understanding before the first day of school, teachers are proactive about breaking information into small chunks as they plan detailed units and lessons that they teach later in the year. The curriculum plan provides a tool for verifying and ensuring that Core Knowledge content is addressed, guides the coherent sequencing of domains to ensure that knowledge is building on knowledge, encourages consistency across the school community, and creates a basis of communication between the school, parents, and the community.

The culmination of this work is for each department to create a preliminary map of ten sequential units per grade for each subject area. This map guides teachers during the school year as they build units within the Core Knowledge sequence. Over the school year, teachers flesh out the maps generated during this PD session by creating detailed instructional, domain-based unit plans that include individual lesson plans.

Regularly scheduled planning time across grade levels and within departments supports the successful development and renewal of the maps that are initially written at the start of the year. Professional learning communities also work to revivify aspects of curriculum design and student assessment as the school year progresses and we learn more about the strengths and weaknesses of our students.

The second curriculum-focused segment of UP University is focused on writing draft versions of each of the performance tasks for the units mapped during the first PD. During this PD, teachers walk through the criteria for and review samples of previously-written excellent and standard-bearing lessons and units. Next, teachers walk through the steps that were taken to design a sample unit as reflected in the design beliefs set forth in Wiggins and McTighe's "Backward Design Planning." Using this model, teachers flesh out the lessons that build up to the culminating project of a unit, after they design the actual culminating project.

The purpose of these sessions is to support teachers in curriculum writing and to identify the skills and background knowledge students need to know in order to successfully complete each unit's performance task. We build on the work initially done during these sessions throughout the year, as teachers use the performance tasks to inform the planning of their overarching unit plans and scaffolded day-to-day lessons.

By working together to develop a growing set of standards-based performance tasks that can be revisited, revised, and used for years to come, teachers build the very foundation on which the school is built. The Core Knowledge sequence is now fully aligned with the Common Core State standards and every assessment created by teachers at UP Middle will use the performance indicators in the Common Core State standards.

Use of Core Knowledge in Other Schools

Core Knowledge has been used since 2001 as the backbone of the Icahn Charter School network's curriculum since the schools' inception in 2001 in the Bronx. Today, Icahn is among the city's best-performing charter school networks. On New York's Common Core-aligned exams in 2015, 45 percent of Icahn students in grades 3–8 scored proficient in English; 61 percent were proficient in math. These results surpass the city's overall 30 and 35 percent, respectively, and far outpace the two South Bronx school districts where most Icahn schools are located: District 9 (13 percent proficient in English, 17 percent in math) and District 11 (21 percent and 26 percent). Two schools—Icahn 2 and 4—recently received the coveted National Blue Ribbon Schools award.

From 2008 through 2011, the Core Knowledge Language Arts program was piloted in 10 public schools in New York City and an additional 7 schools throughout the country, including rural and suburban schools. These diverse schools comprised 172 classrooms, 200 teachers and 4,466 students. Across these schools, the percentage of students receiving free and reduced lunch ranged from 30 to 99%, and the percentage of students for whom English is a second language ranged from 15 to 60%.

Pilot teachers participated in extensive professional development prior to implementing the program. This training ensured that teachers had a clear understanding of the synthetic phonics at the heart of CKLA's Skills strand. The training also provided teachers techniques for building students' background knowledge and vocabulary during read-alouds, which are at the heart of the CKLA Listening & Learning strand.

Results from the three-year pilot of CKLA in kindergarten through second grade in 10 New York City public schools show that students in the schools using CKLA outperformed their peers in 10 comparison schools on measures of reading, science, and social studies. In particular, CKLA students' literacy gains were more than double the gains of students at demographically similar comparison schools.

Value of Curriculum for Students in CSD 7

Many New York City students enter middle school with relatively low levels of background knowledge in many subject areas, as well as a more profound lack of understanding in others. In some cases, the same material has been spiraled year after year but has failed to "stick." Similarly, many sixth graders are reading below their grade level, and lack the literacy skills necessary to fluently and confidently understand grade-appropriate fiction and non-fiction texts.

In particular, many middle school students come to middle school with pronounced trouble in three critical areas of literacy that affect every aspect of their learning: reading comprehension, vocabulary proficiency, and writing fluency.

By preadolescence, the early warning signs of long-term schooling difficulties, including issues of attendance, punctuality, and poor academic habits, begin to come in to sharp focus as the complexity of

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material in school rises precipitously along with the demand that children increase their independence and self-sufficiency. Indeed, studies show that sixth grade is the year in which the single greatest loss of learning time takes place during a student's K-12 career. The rough currents created by suddenly having multiple teachers, classroom transitions, and a changing schedule can severely impact a student's trajectory towards high school and beyond. The curricular and instructional decisions that teachers and leaders make at this critical moment are particularly acute.

The Core Knowledge sequence seeks to address many of these pressing needs. In particular, it lays particular emphasis on the development of a rich base of background knowledge, which is required for reading comprehension. It stresses the importance and value of developing vocabulary, which is shared among subject areas in planned and careful manner. And it takes the time to allow students to develop a sufficient depth of knowledge to allow them to gain mastery over the material, feel confident about their learning, and create opportunities in which all students can contribute to discussions, projects, and arguments with a high degree of understanding and success.

(b) ASSESSMENT

UP Middle believes that collecting, analyzing, and understanding classroom assessment and school-wide data is a social process. To turn information into knowledge you need strong, trusting relationships. To this end, UP Middle works to mine and use data in open and collaborative settings, with purpose. The goal is to provide the greatest number of opportunities to track and share meaningful data to improve instruction in a continuous, supportive, and collegial manner. Data is used to identify areas of strength and success as well as identify areas of need and weakness. In this way, it serves to support celebrations of achievement, both in the classroom and school-wide.

But the indiscriminate collection and study of data can overwhelm schools. And there is a steep opportunity cost attached to data collection and analysis when the data is not ultimately meaningful or useful—or when there is no good, regular plan for how to use it to improve outcomes. To this end, in its first year UP Middle has identified six types of vital data that teachers focus on at the classroom level, and six types of vital data that teachers and administrators focus on at the school level. Data from both categories are deeply examined and turned: they are regularly disaggregated based on an array of groups and categories to set goals and prioritize intervention strategies for students who need them the most.

Classroom Assessments to Increase Student Achievement

Student achievement data in the classroom are the foundation of collective decisions surrounding curricular choices and direction, instructional goals, and intervention and support programs for struggling students. Throughout, the goal of data gathering and sharing is to support best practices in the classroom and the development in all units of common school-wide formative assessments, or checks for understanding. These six types of data are tracked at the classroom level:

1. Student performance on common school-wide diagnostic assessments: These include reading diagnostics administered three times a year to track reading-level growth and trends and common school-wide diagnostic assessments administered prior to the start of course units, used to encourage self-assessment and smart goal-setting, to plan for appropriate instruction, and to better understand student interests and prior knowledge.
2. Student performance on common school-wide formative assessments: These include a variety of checks on understanding that teachers develop while working together during department meetings and professional learning communities to modify lesson plans for the following day, adjust and differentiate instruction, and plan for individual student interventions.
3. Student performance on common school-wide summative assessments: These include results from school-wide common summative assessments and performance tasks at the conclusion of course units, used to frame meaningful performance goals and allow new evidence of achievement to replace old evidence. Most importantly, these data provide a foundation for the celebration of student learning and achievement.
4. Student performance on state-wide high-stakes tests: These include results from prior years' state tests and interim assessments, used by teachers to track larger trends in student success in learning over time, and to compare against interim and final grades in corresponding classes.

5. Final grades for incoming students: These are used by teachers to conduct needs assessments for incoming students and to discuss grading policies for the upcoming year.
6. D and F (interim and final) grades: These are used by teachers to identify students who need more comprehensive support, tutoring, small-group instruction, and after-school support. Also, teachers use this data to review grading practices and approaches to assessments, and to determine why some students are failing to achieve at a higher level.

Challenging All Students to Achieve a High Level of Success

Fifth graders enter middle school at different levels of skill and understanding and with different classroom experiences. The school seeks to raise all students' achievement levels by using common formative assessments and by organizing the school day around literacy support.

Common formative assessments created by teachers working together play an important role in helping teachers constantly adjust their instruction, identify students who may be struggling with specific concepts and skills, and better ensure that all students can achieve a high level of success. Teachers work together in the classroom to collect precise and useful data, disaggregate it, and identify specific skill areas that can be improved. The goal in creating these assessments is to help students achieve greater levels of success in both high-stakes assessments and in course summative assessments.

To this end, all same-course teachers at UP Middle meet at least two times a week to help design short, regular, and common formative assessments that are used throughout a given unit to guide and improve instruction and student success. Teachers input results from these common assessments in a GoogleDrive spreadsheet to compare outcomes, discuss trends, develop action plans for targeted student interventions, and identify pockets of missed comprehension.

These grade-wide course-specific GoogleDrive spreadsheets are shared with the entire faculty, so they can be used by teachers during twice-weekly grade-team meetings. Students who regularly struggle on many skills on the common formative assessments are identified during the grade team meetings, where the purpose is to address student need and make recommendations for further comprehensive academic intervention and support. Students who are identified as struggling in a number of classes are recommended to the administration for further supports. These recommendations are made using specific formative assessment data that shows where the student's weakness lie, with the goal towards targeting those areas—allowing the student to more quickly enjoy a greater degree of success in that particular course.

First-Year School-Level Data

School-level data play a large role in helping all members of the school community understand overall levels of both success and need, as well as identify broader trends in academic achievement; student, teacher, and parent satisfaction; and teacher growth. These data, when disaggregated, also provide the administration and faculty with a window on significant challenges faced by discrete groups of students in the school. They can help diagnose these problems, and show when and how to take action. They can also provide the basis for celebrations and positive recognition across the school. These six types of data are tracked at the school level:

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1. Individual and class-wide behavior on section sheets: These include individual merits and demerits earned by students by each of their teachers as they travel from class to class throughout the day, as well as student class performance as a whole group, to identify whole-class and individual student rewards and shout-outs for great conduct or to identify a pattern of negative or positive behavior by students or whole classes during specific classes or times of the school day.
2. Attendance and tardiness: These include attendance information tracked by the school and by individual teachers in their electronic grade books to improve overall attendance rates, celebrate outstanding attendance by individual students, and identify attendance and on-time problems for grade levels, courses, demographic groups, students who live in certain geographic areas, and times of year.
3. Food consumption and food-service utilization: These include cafeteria usage during breakfast and lunch as well as student self-reported information on food consumption to identify academic engagement and performance levels relative to eating habits and choices.
4. Individual behavior based on referrals: These include reported discipline referrals and write-ups of individual students to target individual students for social work, counseling, and mental health intervention as well as peer mediation and to identify behavioral problems for grade levels, courses, demographic groups, and times of the day.
5. Book checkout in library and classrooms: These include book loans by students through the Accelerated Reader electronic check-out system located in each ELA classroom and in the library to identify trends in title selections and choices and usage by grade level, classes, demographic groups, and times of the week and month.
6. Teacher peer observations: These include frequency in which teachers participate in the videotape-based peer observation program to identify who has been observed and who is observing, and to help identify best practices to share among the staff.

The school dives deeply into its data through the work of the instructional practice team (ILP), grade level teams, and department teams. Both class- and school-level data are disaggregated on a regular basis by the administration and the ILP, led by the data specialist. The purpose of the disaggregation is to identify areas where the school and departments appear to excel as well as show areas in need of improvement. Student performance data and school-level data are separated out and segmented based on a number of criteria: demographic (both ethnic and socioeconomic, based on free and reduced-price lunch), class, grade-level, achievement-level, gender, geographic location (NYCHA residence and non-NYCHA residence), ELL status, and special needs status. The goal is to identify correlations between classroom performance and subgroups, and to compare the scores and outcomes of these subgroups with those of the school as a whole. This purpose of this effort is to prioritize intervention strategies for the students who need them the most.

School-wide data pertaining to students is compiled and disaggregated by the administration and distributed to teachers on a weekly basis through the school's GoogleDoc site and reviewed during grade-team meetings. In some cases, such as with whole-class section sheet behavior and book usage, the data is shared with students and classes to celebrate and acknowledge success and positive achievement. School-wide data pertaining to teachers and staff is compiled by the administration and shared with teachers every month at the faculty meeting, during professional development and training days, and individually throughout the year.

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The administration uses assessment result data to guide in-school staff development. Data showing one teacher's students faring particularly well around a set of skills or concepts represent an entry point for that teacher to lead conversations about the techniques, approaches, and strategies that obtained a high degree of success for his or her students. The data also help determine areas of need: classroom performance results show where the average number of students demonstrate strengths, allowing the faculty to instead focus their attention elsewhere. This curriculum-based system provides for multiple opportunities throughout the year, whenever staff development takes place, to closely examine specific and precise aspects of student performance that show declines or lower levels of achievement.

Communicating Assessment Results to Families

UP Middle will share assessment data with families using Power Schools, which allows the school to share course-specific and high-stakes data, and well as information around books read by students during independent reading.

(c) Instructional Methods

Direct, Fully-Guided Instruction

The single most important aspect of the school's design is that it is purposeful in employing a curriculum and instructional model that logically cohere: our instructional model, *how* we teach, best supports the school's curriculum, *what* we teach. The instructional model of UP Middle is best described as a sequence of direct or fully guided instruction followed by carefully scaffolded inquiry learning. The foundation of the school's curriculum is a sequence of study that is highly organized and distinguished by both breadth and depth; what students learn is coherent, cumulative, and content specific.

The instructional model of direct, fully guided instruction, used when students are novices in a topic and gathering the necessary background knowledge needed to master and think critically about the problem, issue, or topic under consideration, followed by scaffolded inquiry learning, used as students gain deeper understanding and become more skilled, is beneficial for all students at UP Middle. The curriculum and instructional models are selected based on the specific, but hardly unique, needs of eleven- to fourteen-year-olds in New York City, including those who have IEPs and who are English language learners at various stages of proficiency.

In response to these sometimes specific needs, which are critically important to note, students benefit most from first receiving fully guided instruction to help them develop a foundation of strong, readily accessible background knowledge. Fully guided instruction is defined as instruction that fully explains all concepts and skills that students are required to learn, accompanied by extensive practice and frequent and close feedback. It does not mean direct, expository instruction every day, however; it means that the teacher takes steps to ensure that all students develop a true and verified understanding of the material, and have an opportunity to practice it while receiving corrective feedback. This is particularly important during the early stages of studying new material. In practice, the careful instructional support required during this stage includes frequent reviews, small-step presentation of new material, "worked-example" models, close monitoring and guiding of independent practice, and frequent "cold call" or written checks for understanding.

UP Middle's curriculum and instructional approach are designed to ensure that classrooms do not become places where a relatively small number of students carry the class and large numbers remain confused or lost, or are left behind. No school will have a true scholarly culture if the overwhelming number of students in it do not experience success and growth from week to week and month to month. Because our mission is to promote learning for *all* students, fully guided instructional practices ensure high levels of success and understanding in each stage of learning, and our curriculum ensures that students are constantly exposed to exceptional content that has stood the test of time.

Gradual Release of Responsibility and Inquiry-Based-Learning

Middle school students, however, also thrive when given increasing levels of responsibility and control over their own learning. Research on successful middle schools has shown that one constant is the need for students to have a real sense of control over their own actions and engagements. Once students are no longer novices in a topic or subject area, and have acquired, rehearsed, and connected sufficient

background knowledge to allow them to begin to think more deeply and independently, they transition into an inquiry model during the performance task stage of the unit. Many students, as they become more expert on a topic, can now make informed and competent decisions about how to construct an argument, solve a problem, or interpret a text; other students, however, may continue to need more scaffolded material. The goal is to ensure that all students are able to make good and productive use of classroom time, not just those who are the best-prepared, have the most consistent attendance, and are the least likely to become frustrated and disengaged.

In the inquiry setting, students may work together in collaborative learning pairs or groups, in which students have a common task and take on asymmetrical roles and are given a common grade based on the group's overall level of performance. Or they may work by themselves, depending on their learning preferences that best suit them for the topic they are studying or the task they are completing. They are expected to use their depth of knowledge on the topic to work in a careful and competent manner to fashion a project that helps answer one or more of the unit's enduring questions and address the big idea.

Literacy Across Content Areas

Reading is *the* skill. Teaching students to select great books, read and comprehend on their own, and unlock the meaning of grade-appropriate, challenging texts is the number one skill and ability that students must have to find success in and beyond middle school. At UP Middle, reading is a verb, not a class, and teachers, across content areas, organize their classes to ensure that students read a lot, and become better readers. As a result, there is no single class in which reading is privileged. Instead, all teachers look at growing the frequency and quality of reading that students do as their responsibility. When students master this ability, they have habits that allow them to remain focused on a text; become more diligent readers; persevere when they are challenged by difficult texts; and select and discriminate among texts. Above all, however, this ability imbues in them the ability to become more joyful readers—and hence more independent, self-directed, highly motivated ones.

When students leave UP Middle, they can decode what they read, they can understand most of the vocabulary contained in what they read, and they can read quickly and with expression to reflect tone and meaning. When students are reading more frequently in all classes as well as alone, all three are easier to achieve for all students, even those who enter middle school with incomplete mastery of basic reading skills. University Prep recognizes the critical nature of these skills by creating opportunities in some students' schedules for targeted reading recovery instruction. Students who have learned to apply these skills are able to self-correct when reading; can use clues in sentences to help make sense of word meaning; know how to use more words correctly (even if they don't know the exact definition of the word, a critical difference); and are able to read more complex texts with meaning, expression, speed, and fewer errors. This final skill of fluency becomes an even more important skill to master as texts become more sophisticated in middle school and beyond.

Students must be able to extract accurate meaning from texts and books, but this skill and ability that students develop is not just about being able to think abstractly and broadly. It is also about the ability to make sense of words and phrases and correctly understand the nuance of written and spoken sentences. Students need to be explicitly taught colloquial expressions, foreign phrases, turns of phrase, and how to understand referents in complex sentences. Students who can understand the meaning of texts know how to break down sentences into their constituent parts, give appropriate attention to background and

context information before and during reading, locate and provide textual evidence that supports points, and summarize the major or salient points about what they read or listen to.

Rather than a curriculum that covers an extensive amount of material with very little depth, the math curriculum at UP Middle has clearly defined key learning goals for each grade level and teachers work together to avoid wasting time with unnecessary repetition. The curriculum is designed to allow for meaningful connections between topics and real world applications are used to extend conceptual understanding. Students are frequently asked to gather data, organize information, search for patterns, make and test conjectures, and discuss their ideas and strategies.

Writing

The written work, across all content areas, created by students at UP Middle makes sense only because it offers well-considered arguments using fitting rhetorical approaches. There is an explicit focus on grammar instruction at the school, ensuring that students' sentence structure is sufficiently varied, complex, and correct. Students also focus on usage and spelling. Together, this major emphasis on the fundamentals of the written word ensure that students' messages are not obscured or hobbled by incorrect or imprecise English. Students are able to write with few errors, write in different styles, recognize the importance of style's service to clarity and coherence, and identify errors of style and usage in peers' work.

Making sense of spoken or written material lies at the heart of the thinking process at school. One class at school has argument as its central and abiding concern—how to analyze, evaluate, support, and defend positions with evidence. Students have hundreds of opportunities a year to argue the pros and cons of anything they study in their content areas. Students will who can argue well, in both written and spoken form, are able to locate evidence, sift and sort evidence to discern good from bad, apply evidence using an effective rhetorical strategy in a debate or argument, and listen to and respond to counterclaims and counter-arguments and offer cogent rebuttals.

Presentation of Material in Classes

Because the material is complex and often refers to knowledge and skills covered in prior units, teachers in the school present new and reviewed material in both written (both visually projected in the room and written on students' consumables) and verbal form. Much of the direct instruction, if not all, is organized and chunked into parts that are thematically, chronologically, or otherwise related to one another. These chunks are presented through text, images, audio, or video that is projected, and students have at least some of the material in note form in front of them, creating a strong board-to-page connection. Students are taught to take more notes as their classes progress. There are frequent pauses in the presentation of this material that allow for guided or independent practice. Students' notes pages are chronologically numbered (starting with Sheet 1, the syllabus, on day one), and these sheets are organized in classroom-based binders that allow teachers to constantly monitor. Students are presented with teachers' notes (the version that the teacher projected during the direct instruction parts of class) during review classes, allowing absent or otherwise occupied students to make up work and present students to ensure completion of their notes.

This instructional approach for presenting new material will also ensure that teachers begin each class with a review of previous learning that is projected on the screen, strengthening previous learning and improving recall. This review time is supported by the numbered note-taking system that students have ready access to during class in their binders. This multi-modal approach to presenting lessons will also ensure that teachers limit the amount of material that is presented at any one time. Having all information presented on both the screen/page and verbally also ensures a high level of consistency: Teachers are encouraged through the form to present directions and explanations in a clear and unambiguous fashion. Finally, the approach helps teachers think aloud and model steps to solving problems, because the steps can be worked out by the teacher from beginning to end, including consideration of common misunderstandings and mistakes, prior to instruction.

Modeling and Independent Practice

Teachers at UP Middle also spend lots of time providing extensive modeling and worked examples to help students move from novice learners to experts in their subjects. Teachers follow a uniform procedure of providing a prompt, modeling, guiding practice, and supervising independent practice, which allows students to gain a better understanding of how to go about starting and following through on a difficult task. This modeling extends to worked example problems, in which the teacher works through a problem step by step. Students also study worked examples on their own, tracing how a thinker moved from step to step in solving a problem. Teachers regularly present partially completed problems to force the student to fill in the gaps and complete the process. Generally speaking, teachers spend more time in direct instruction and guided practice in an effort to ensure higher overall success rates among their students during independent practice. Teachers also spend a significant amount of time checking for understanding. These checks are built into the lesson at all points, since the lesson has been organized ahead of time into projected and written form.

Backward-Design, Standards-Aligned Units and Lessons

In every classroom at UP Middle, teachers implement standards-aligned units and lessons tasks that are developmentally complex, rich, and varied and whose vocabulary and conceptual content is integrated across classes and between grades. Material that teachers select to anchor their ten annual units is drawn from a body of lasting knowledge that is organized by the Core Knowledge sequence. There is a remarkably pronounced overlap between the materials chosen for study and the recommended texts and materials that appear in Appendix B of the Common Core State Standards for ELA, “Text exemplars and sample performance tasks.” The rigor is reflected in the breadth of what each student will learn, regardless of class assignment, IEP or ELL/ENL status, or proficiency level upon entry to the school in the fifth grade. Every student studies and comes to understand the fundamentals of science, basic principles of government, important events in history, essential elements of mathematics, widely acknowledged masterpieces of art and music from around the world, and stories and poems passed down from generation to generation.

Here is the daily flow of a lesson at UP Middle that incorporates these core instructional elements:

1. At the start of each lesson, students organize their own work using sequentially numbered notes that are in a classroom-based binder;

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2. The teacher begins the lesson with a projected review of previous learning, and students make use of notes to respond;
3. The teacher makes use of board-to-paper-organized direct instruction of new material in small steps, with frequent breaks for practice;
4. The instruction is carefully planned to include multiple points to check for understanding;
5. Guided instruction is interspersed throughout instruction;
6. Guided instruction includes worked example problems that includes step-by-step guidance, some of which are partially worked;
7. Clear and explicit directions are provided on both screen and paper for any independent practice;
8. The teacher includes multiple models for independent practice; and
9. The student completes independent practice on their notes sheets, which remain well organized in the student's binder from day to day.

(d) Course and Subject Overview

Language Arts in Two Classes: Reading and Speaking, and Writing and Language

Many middle school students enter school with poor literacy skills. UP Middle recognizes that the need for additional support is so common as to be nearly universal in many areas of New York City, and so provides intervention by dividing the traditional ELA period into two parts: Reading and Speaking, and Writing and Language. In both classes, the goal is to have students read, discuss, and write about many whole books, articles, and poems over the course of the year.

During Reading and Speaking, students also read approximately fifteen to twenty whole grade-level fiction, non-fiction, and dramatic texts; a number of short stories and poems; and many newspaper and magazine articles, all of which are read aloud in the classroom or read partially aloud and silently by students. These read-alouds continue in the school through all grades, based on research that shows students' comprehension through listening outpaces their comprehension through reading until at least the ninth grade. This reading is close reading, requiring students to annotate and underline passages, read and reread carefully passages for meaning, and summarize passages. There are no basal readers, skills worksheets, or boxed ELA curriculum used in the school.

These practices are done to help students understand meaning in texts, and to provide practice in arguing and solving problems based on the material. Students engage in debate during class about essential questions raised by the books they read, and use evidence from texts to support their positions. Students participate in at least three discussions per week about their reading in Reading and Talking. These discussions are stimulated by well-considered prompts and questions, and require students to cite the text when making their points. This focus on closely reading and re-reading authentic texts extends beyond the Reading and Talking class. Students spend a good deal of time in class reading, or participating in read alouds, in science, history and geography, the visual arts and music, and even math.

In Writing and Language, students are expected to write at least three times a week, and to complete one major writing assignment per unit, or approximately two per marking period. These writing assignments include whole-school common page lengths and use a common scoring guide. Major work is written in at least two drafts, and all teachers provide multiple high-quality exemplar papers to provide models for students both before and during the writing process. Finally, students are expected to make presentations based on their written work at least once a marking period. These presentations are opportunities for peers to take notes, open up points of agreement or disagreement about the argument presented, and respond in the spirit of informed debate.

Lastly, Writing and Language focuses on the development of writing at the level of the sentence, a need shared by many incoming middle schoolers. Grammar includes word study based on word roots, explicit vocabulary development, and the process of learning to develop ever more complex, grammatically sound sentences using the technique of sentence diagramming. Students practice taking apart sentences in texts they are currently reading, and writing new sentences based on similar ideas and content.

Language Arts: Grade 5

Coursework balances student voice and creativity with the correct use of conventions. Students read and write imaginative pieces but a strong emphasis is placed on expository writing-- including summaries, book reports, process essays, and descriptive essays. Students revise and edit to compose finished products that are thoughtful, well-organized, and reasonably correct in grammar, mechanics and spelling. The research component of the course teaches students how to gather and synthesize information from different sources using a structure for coherent organization and paragraphing. The grammar and usage component focuses on punctuation, including end punctuation; commas in dates, addresses, in a series, before conjunctions, inside quotation marks in dialogue; apostrophe for conjunctions and in singular and plural possessive nouns; and quotation marks in dialogue and for titles of short works. Students read and study the narrative arc of stories in order to emulate them, and are exposed to a variety of works-- including *Little Women*, *Narrative of the Life of Frederick Douglass*, and *The Secret Garden*, among others. Students read traditional and modern poetry-- including authors such as Henry Wadsworth Longfellow, Emily Dickinson, Alfred Lord Tennyson, Langston Hughes, Gwendolyn Brooks, and William Blake-- to name a few, and compose their own poems which include author craftwork such as onomatopoeia, alliteration, simile, and metaphor. In alignment with their World History course unit on The Renaissance, students study an adaptation of *A Midsummer Night's Dream* and learn to analyze literary aspects of drama and the tropes of tragedy and comedy. As they study Feudal Japan in World History, they study literal and figurative language-- including imagery, metaphor, simile, symbolism, and personification-- in Japanese myths and legends. They read several speeches, including Abraham Lincoln's, "The Gettysburg Address" and Chief Joseph's "I will fight no more forever," which bolsters their study of the Civil War and Native American cultures and conflicts in their American History course.

Language Arts: Grade 6

Students build on their knowledge of writing and research by learning strategies and conventions for persuasive essays—including logos, ethos, and pathos reasons-- with attention to articulating a thesis that is supported with evidence, examples, but also persuasive reasoning. Students begin anticipating and answering counter-arguments and are exposed to the skill of developing tone in their writing. Speaking and listening skills are practiced as students begin to regularly engage in productive group discussions. Students are able to identify different sentence types and write for variety by using simple sentences, compound sentences, complex sentences, and compound-complex sentences. Students study troublesome forms such as passive voice and commonly misused verbs and spellings of commonly misspelled words. Students master spelling rules for the use of *ie* and *ei*, and continue building their knowledge of prefixes and suffixes. Greek and Latin roots are introduced. Poetry is read and written, and students begin to examine some poems in detail—discussing meaning and asking questions about the poet's use of language—meter, iamb, couplet, rhyme scheme, free verse. In alignment with the World History unit on Romanticism, poets such as Wordsworth and Byron are introduced. In alignment with World History units on Ancient Greece and Rome, students read stories from Homer's *The Iliad*, Shakespeare's *Julius Caesar*, and a number of classical myths—including "Apollo and Daphne," "Orpheus and Eurydice," "Narcissus and Echo," and "Pygmalion and Galatea." Students will study these texts for deep analysis and thoughtful discussion and writing about literary elements such as imagery, metaphor, simile, symbolism, personification, and the epic trope.

Language Arts: Grade 7

Instruction continues to emphasize repeated expository writing, but students write across a variety of genres—including fiction, poetry, and drama. Students begin to examine their work and the work of their peers with attention to unity, coherence, and emphasis. Expository essays require having a main point and sticking to it and follow a coherent structure. Paragraphs have a unified focus and are developed with evidence, examples, and reasoning—and include transitions between them. Essays are written with appropriate tone and diction, as well as correct spelling and grammar in their final form. Students build on their knowledge of writing and research by writing nonfiction essays that describe, narrate, persuade, and compare and contrast. Students ask open-ended questions and begin to lead the class during discussions. Students build on their grammar and usage skills by identifying and using prepositional phrases, complements, appositives, participles, gerunds and gerund phrases, infinitives and infinitive phrases, simple subjects and simple verbs, auxiliary verbs, and practice subject-verb agreement. They continue working with spelling, with special attention to commonly misspelled words. They build their arsenal of Latin and Greek roots, prefixes, and suffixes to expand their vocabulary. Students read poems, fiction, nonfiction, and drama in alignment with the World History units on World War I, America in the Twenties, the Harlem Renaissance, including Wilfred Owen, Langston Hughes, and Countee Cullen. Students are introduced to stanzas and refrains, and types of rhymes, as well as poetic forms: ballad, sonnet, lyric, narrative, limerick, haiku. Students study the short-story arc by reading and emulating stories such as “The Gift of the Magi,” “The Necklace,” “The Secret Life of Walter Mitty,” and “The Tell-Tale Heart.” Students are introduced to novels and novellas and read for aspects of plot and setting, theme, point of view in narration (including omniscient, unreliable, third person limited, and first person narrators), internal and external conflicts, and suspense and climax. In alignment with World the World History unit on World War II, students study Roosevelt’s “Declaration of War” and Anne Frank’s *Diary of a Young Girl*. They read Edmond Rostand’s drama *Cyrano de Bergerac* and study tragedy and comedy, aspects of conflict, suspense, and characterization, soliloquies and asides, irony (verbal, situational, dramatic), flashbacks, foreshadowing, hyperbole, oxymoron, and parody.

Language Arts: Grade 8

The writing and research component of the course serves to refine skills learned in previous grades—gathering relevant data through research, summarizing, paraphrasing, and quoting accurately, defining a thesis, organizing with an outline, integrating quotations and balancing them with analysis. Students demonstrate an ability to participate in and lead productive group discussions. They have a working understanding of grammar and usage issues and are able to discuss and analyze writing: punctuation, misplaced modifiers, parallelism, sentence variety. They continue to work with spelling, with special attention to commonly misspelled words, and build on their knowledge of Latin and Greek roots, prefixes, and suffixes. Students read a wide variety of poetry and analyze their elements—meter, iamb, rhyme scheme, free verse, couplet, onomatopoeia, alliteration, assonance, form (ballad, sonnet, lyric, narrative, limerick, haiku). They are introduced to extended and mixed metaphors as well as allusion. Students read, analyze, discuss, and write about short stories by authors such as Anton Chekhov, Nathaniel Hawthorne, and Stephen Crane in order to emulate them. Students read *Animal Farm* and *The Good Earth* to study plot and setting, theme, point of view, conflict, suspense and climax, characterization, types of characters (flat, round, static, dynamic), character motivation, protagonist and antagonist features, and tone and diction. In alignment with History class units on The Kennedy Years, The Civil Rights movement and The Emergence of Environmentalism, students read essays and speeches by J.F. Kennedy, Martin Luther King, and Rachel Carson. Students read selections from Maya Angelou’s autobiography *I Know Why the Caged*

Bird Sings and revisit the Shakespearean Drama by studying *Twelfth Night*. Students are introduced to new terms such as farce and satire, and learn about aspects of performance and staging, actors and directors, sets, costumes, props, lighting, music, and presence of an audience.

30-Minute Independent Reading in Language Arts

To make progress in reading, and to catch up if behind, students at all levels must read abundantly for hundreds of hours in school every year. To this end, all students spend thirty minutes a day independently reading, and at least sixty minutes a day reading across the curriculum. For independent reading, students select from a wealth of high-quality high-interest grade-appropriate reading material contained in the library and in classroom libraries.

To ensure a regular infusion and renewal of books, the school purchases books through Booksource or with teacher accounts at Barnes & Noble or Amazon.com. Students are expected to read at least forty (40) chapter books on their grade level each year, or over a million words. This rate is accurately tracked through the Accelerated Reader program. Students are also expected to have discussions with partners about their books, and to write with purpose about their books.

Reading across the curriculum

- Teachers practice reading to students out loud

- All students have printed copies of all texts

- Teachers model

- How many words do we want students to encounter through reading every day: about 12,000 per day when all texts are factored in.

Reading for pleasure (is this independent reading)

- Building student-owned libraries

- Expectation that students read at home for pleasure

- Reading 30 minutes every day in school for pleasure

- Expectation that adults read with students

Science

In Science, students apply the scientific method of inquiry to critically assess ideas presented by others and to gain insights into natural phenomena. Students ask questions to think critically about the world and bring a healthy skepticism to differing perspectives derived from extensive content knowledge. They conduct research, fully prepared to seek appropriate sources and comprehend grade level informational texts to supplement what they already know during inquiry work. After conducting research, they construct testable hypotheses. They experiment, carrying out both proper scientific investigation and collect both quantitative and qualitative data.

They analyze results by assessing data and observations, drawing conclusions from results. They evaluate and defend their positions using evidence. Students at UP Middle can communicate the results of their inquiry when both writing and speaking.

Mathematics

The Mathematics program at UP Middle has two strands: one that focuses on mastering foundational procedures, and another that focuses on algebraic problem solving and mathematical reasoning. First, to build the vital foundation necessary for success in high school and college, we dedicate much of our math instruction to solidifying procedural knowledge. We emphasize the development of strong number sense, excellent mental-math skills and a deep understanding of place value. Students engage in daily timed procedural drills that allow students to gain fluency in operation sense and computational skills.

Second, our mathematics curriculum relies on the belief that every student should be exposed to algebraic mathematical thinking skills starting in the fifth grade. Starting in the early years, students will exercise in algebraic reasoning skills and practice algebraic notation. Throughout middle school, students are provided with increasingly more frequent opportunities to solve complex problems and to independently draw conclusions. With this technique, all students will have learned the core algebra strand defined by the National Council of Teachers of Mathematics by the end of eighth grade. Additionally, students that excel in mathematics during sixth and seventh grades will have the opportunity to enroll in a regent's level algebra course for their eighth grade year.

Additional program features will include: Illustrative Math, Engage NY supplemented by Mathalicious, Algebra in 8th grade, Project based learning, After-school intervention for remediation

(e) Promotion and Graduation Policy

Scholarship Grading and Grade-Promotion Policy

Teachers submit grades four times a year, once at the end of each marking period. Student grades are reported on their report card at the end of marking periods 1 and 3, and transcripts at the end of marking periods 2 and 4. Students and family members track grades, anecdotes, and faculty communication on PowerSchool, and printed report cards and transcripts are given to students, emailed to students and families, and mailed to families four times a year. Progress Reports and the latest report card or transcript is also given to family members at parent-teacher conference meetings.

Students are graded on a point system, earning credit through work on summative performance tasks and assessments; regular and recurring assessments and tasks; in-class work; homework; independent reading progress; and good citizenship demonstrated in coursework. Both the awarding of these points and the distribution of these points by category is made at the sole discretion of the teacher of the course. Overall course marks each marking period are based on a 100-point scale:

65-100, passing

55, failing

0, rarely or did not attend, failing

Students' grades on a 100-point scale are averaged each marking period resulting in a cumulative average. Students are recognized for distinction for achieving honors four times a year, based on these overall marking period averages:

95 and above: very highest honors

90 to 94.9: high honors

85 to 89.9: honors

Students who achieve a cumulative average of 90 and above by the end of the four marking period of the sixth grade will be eligible for induction into the Junior National Honor Society, held in September of the students' seventh-grade year.

All students' scholarship progress will be tracked from the start of each term. Students who are failing a course at the beginning of week four of a given term will be placed on academic probation, and given a "red" designation on the class tracker, requiring him or her to attend Lunch and Learn a minimum of three times a week and Tutoring three times a week, until such time he or she is passing all courses in the current term. The administration and faculty will create targeted short-term goals for these students in each class in which the student is on academic probation. Students who fail a course will be required to repeat this course during the subsequent summer school term.

Promotion to the subsequent grade will occur when a student obtains a passing mark in all seven of his or her courses. Students graduate to high school at the successful completion of their eighth-grade year, and are recognized for distinction for achieving honors based on their overall cumulative average:

95 and above: summa cum laude

90 to 94.9: magna cum laude

85 to 89.9: cum laude

Mathematics

The Mathematics program at UP Middle has two strands: one that focuses on mastering foundational procedures, and another that focuses on algebraic problem solving and mathematical reasoning. First, to build the vital foundation necessary for success in high school and college, we dedicate much of our math instruction to solidifying procedural knowledge. We emphasize the development of strong number sense, excellent mental-math skills and a deep understanding of place value. Students engage in daily timed procedural drills that allow students to gain fluency in operation sense and computational skills.

Second, our mathematics curriculum relies on the belief that every student should be exposed to algebraic mathematical thinking skills starting in the fifth grade. Starting in the early years, students will exercise in algebraic reasoning skills and practice algebraic notation. Throughout middle school, students are provided with increasingly more frequent opportunities to solve complex problems and to independently draw conclusions. With this technique, all students will have learned the core algebra strand defined by the National Council of Teachers of Mathematics by the end of eighth grade. Additionally, students that excel in mathematics during sixth and seventh grades will have the opportunity to enroll in a regent's level algebra course for their eighth grade year.

At UP Middle, we recognize that while it is important to work toward the development of “higher-order problem-solving skills,” it is equally important—indeed, it is prerequisite to achieving “higher order” skills—to have a sound grasp of basic facts, and an automatic fluency with fundamental operations. This is the foundation of the initial work in math that is done in the fifth grade. Students begin with a study of numbers and number sense; ratio and percent; fractions and decimals; basic computation; measurement; basic geometry; basic probability and statistics; and some pre-algebra.

In grade six, students review numbers and number sense, ratio and percent, fractions and decimals, and measurement. Students do more complex geometric work with angles, triangles, circles, and volume. Students do more complex work with probability and statistics and in pre-algebra.

In grade seven, students begin work in pre-algebra--the properties of real numbers; linear applications and proportionality; polynomial arithmetic; equivalent equations and inequalities; and integer exponents. Students continue work in geometry, exploring three-dimensional objects; angle pairs; triangles; and measurement. Finally students continue work in probability and statistics.

In grade eight, students will study algebra, including relations, functions, and graphs (two variables); linear equations and functions (two variables); arithmetic of rational expression; and quadratic equations and functions. Students continue studying geometry, specifically analytic geometry, introduction to trigonometry; and triangles and proofs.

Science

Effective instruction in science requires, first and foremost, hands-on experience and observation from a student's very first day in school, and this is reflected in the practices in science education at UP Middle. Students apply the scientific method of inquiry to critically assess ideas presented by others and to gain insights into natural phenomena. Students ask questions to think critically about the world and bring a healthy skepticism to differing perspectives derived from extensive content knowledge. They conduct research, fully prepared to seek appropriate sources and comprehend grade level informational texts to supplement what they already know during inquiry work. After conducting research, they construct testable hypotheses. They experiment, carrying out both proper scientific investigation and collect both quantitative and qualitative data. They analyze results by assessing data and observations, drawing conclusions from results. They evaluate and defend their positions using evidence. Students at UP Middle can communicate the results of their inquiry when both writing and speaking.

Science curriculum at UP Middle in grade five begins with providing students with an understanding of how we classify living things--and in particular the system that is used for classification. Students then study the structures and processes of cells; plant structures and processes (the structure; photosynthesis; and reproduction); life cycles and reproduction; and the human body. Students then address chemistry, matter and change (atoms, molecules, and compounds; elements; and chemical and physical change). Finally students address the biographies of select scientists: Galileo, Percy Lavon Julian, Ernest Just, and Carl Linnaeus.

In grade six, students continue and deepen their practice of doing experiments and writing reports on their findings. Grade six students begin studying plate tectonics, then continue with the study of oceans; astronomy (gravity, stars, and galaxies); energy, heat, and energy transfer; and the human body. Finally students in grade six address the biographies of select scientists: Marie Curie; Lewis Howard Latimer; Isaac Newton; and Alfred Wegener.

In grade seven, students study atomic structure; chemical bonds and reactions; cell division and genetics; history of earth and life forms; and evolution. Students in grade seven address the biographies of select scientists: Charles Darwin, Antoine Lavoisier, Lise Meitner, and Dmitri Mendeleev.

In grade eight, students study physics, electricity and magnetism, electromagnetic radiation and light; sound waves; and the chemistry of food and respiration. Students in grade eight address the biographies of select scientists: Albert Einstein, Dorothy Hodgkin, James Maxwell, and Charles Steinmetz.

University Prep Charter High School
R-05f – Programmatic Audit

University Prep Charter Middle School will conduct a comprehensive programmatic audit on the effectiveness of the school program. The present plan is for the audit to be conducted by staff and perhaps with the assistance of an external consultant. A preliminary framework for the audits is presented below:

Charter Year	Calendar Year	Audit Focus	Team	Methodology	Final Report
1	2019-2020	School Culture, Teacher Culture and Systems of Support, Board Governance	External Consultant	Field interviews, classroom observations, trustee interviews	Yes
2	2020-2021	Teaching and Learning and Systems of Support for Struggling Learners and Special Populations	School Admin Team	Document review, surveys of students and teachers, Interviews with students and teachers; performance data analysis	Yes
3	2021-2022	Organizational Efficiency, Staffing and Hiring Requirements, Instructional Methods, and Systems of Support for all learners	External Consultant and Admin Team	Document review, surveys of students and teachers, Interviews with students and teachers; performance data analysis	Yes
4	2022-2023	Instructional Rigor and Operational Efficiency	External Consultant	Classroom observations, staff interviews.	Yes
5	2023-2024	Fiscal Soundness and Organizational Viability; Stakeholder Satisfaction	External Consultant and School Admin Team	Benchmark analysis of sector costs, Fiscal analysis, board and staff interviews, stakeholder surveys	Yes

University Prep Charter Middle School
R-06ac – Calendar and Schedules

University Prep Charter Middle School will provide instructional time equal to or greater than is required by Education Law 2851(2)(n) and 8 NYCRR § 175.5. The proposed 2019-2020 school calendar for UPCMS provides 181 instructional days for students entering in grades 5 and 6. Our program includes an additional 15-day Summer Bridge Program. Our organization developed University Prep Charter High School from an organization of less than 100 students to one of the top high schools in New York State with a current enrollment of 430 students. We welcomed, embraced and encouraged high levels of student achievement among all students, many of whom entered with 5th and 6th grade reading levels.

Our calendar reflects our grounded and empirical approach to catching students up to their peers across the state. We are a proud organization serving families in the poorest Congressional District in the United States of America. It is imperative that we provide our students (and teachers) with adequate time to acquire the basic skills that enable acceleration and ownership.

Sample student and teacher schedules are found on pages R-06ac – 3 through 5.



UNIVERSITY PREP MIDDLE SCHOOL | 2019-20 CALENDAR

181 Instructional Days

16-17 Regents exams
28-30 Staff PD (no students)

AUGUST 2018						
S	M	T	W	Th	F	S
			1	2	3	4
5	6	7	9	10	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

FEBRUARY 2019						
S	M	T	W	Th	F	S
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28		

18-22 Midwinter Recess
(no school)
25 Students return to school

3 Labor Day (no school)
4 First day of school, & first day of marking period 1
10-11 Rosh Hashanah
(no school)
13 Back-to-school night
19 Yom Kippur

SEPTEMBER 2018						
S	M	T	W	Th	F	S
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30						

MARCH 2019						
S	M	T	W	Th	F	S
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						

12 Parent-teacher conference days (evening)
15 Parent-teacher conference days (afternoon)
18 Staff PD Day (no students)

8 Columbus Day (no school)
16 Parent-teacher conference days (evening)
19 Parent-teacher conference day (afternoon)

OCTOBER 2018						
S	M	T	W	Th	F	S
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

APRIL 2019						
S	M	T	W	Th	F	S
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30				

12 End of marking period 3
15 Start of marking period 4
17 CYOA Field Trips
22 Spring Recess (no school)
29 Students return to school

5 End of marking period 1
6 Staff PD day (no students)
7 Start of marking period 2
21-23 Thanksgiving holiday
(no school)

NOVEMBER 2018						
S	M	T	W	Th	F	S
				1	2	3
4	5	6	7	8	9	11
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	

MAY 2019						
S	M	T	W	Th	F	S
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

3 Parent-teacher conference days (afternoon)
27 Memorial Day (no school)
4,11,18 Saturday Academy

11 Parent-teacher conference days (evening)
14 Parent-teacher conference days (afternoon)
24-4 Winter recess (no school)
1,8,15 Saturday Academy

DECEMBER 2018						
S	M	T	W	Th	F	S
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

JUNE 2019						
S	M	T	W	Th	F	S
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30						

3 Regents exams & grading
4 Eid al-Fitr (no school)
17 Alternate Prep Schedule
20-26 City Lab Spring
24, 25 Staff PD (no students)
26 Last day for students, & end of marking period 4
1,8,15 Saturday Academy

7 Students return to school
18 Alternate Prep Schedule
21 Martin Luther King, Jr. Day
(no school)
22-25 City Lab Winter
25 End of marking period 2
28 Staff PD (no students)
29 Start of marking period 3
12,19 Saturday Academy

JANUARY 2019						
S	M	T	W	Th	F	S
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		



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	No school / Holidays
	Marking period dates
	No students (staff reports)
	Parent-teacher conference days
	Summer Bridge & City Lab Days
	Saturday Academy

SAMPLE STUDENT SCHEDULE (6-day rotation)

		<i>A/1</i>	<i>B/2</i>	<i>C/3</i>	<i>D/4</i>	<i>E/5</i>	<i>F/6</i>
<i>Per</i>	<i>Bell Schedule</i>	<i>Monday</i>	<i>Tuesday</i>	<i>Wednesday</i>	<i>Thursday</i>	<i>Friday</i>	<i>Monday</i>
HR	8:20 – 8:35	Morning Meeting	Morning Meeting	Morning Meeting	Morning Meeting	Morning Meeting	Morning Meeting
1	8:39 – 9:22	ELA- Reading	ELA- Reading	ELA- Reading	ELA- Reading	ELA- Reading	ELA- Reading
2	9:26 – 10:09	ELA- Writing & Composition	ELA- Writing & Composition	ELA- Writing & Composition	ELA- Writing & Composition	ELA- Writing & Composition	ELA- Writing & Composition
3	10:13 – 10:56	Humanities	Humanities	Humanities	Humanities	Humanities	Humanities
4	11:00 – 11:43	Lunch & Learn	Lunch & Learn	Lunch & Learn	Lunch & Learn	Lunch & Learn	Lunch & Learn
5	11:47 – 12:30	Mathematics	Mathematics	Mathematics	Mathematics	Mathematics	Mathematics
6	12:34 – 1:17	Visual Arts	Physical Education	Visual Arts	Physical Education	Visual Arts	Physical Education
7	1:21 – 2:04	Science	Science	Science	Science	Science	Science
8	2:08 – 2:51	Foreign Language	Independent Reading/Tutoring	Foreign Language	Independent Reading/Tutoring	Foreign Language	Independent Reading/Tutoring
HR	2:55 – 3:10	Afternoon Meeting	Afternoon Meeting	Afternoon Meeting	Afternoon Meeting	Afternoon Meeting	Afternoon Meeting
	3:10	<i>Dismissal</i>	<i>Dismissal</i>	<i>Dismissal</i>	<i>Dismissal</i>	<i>Dismissal</i>	<i>Dismissal</i>
10	3:10-3:55	Mentoring & Tutoring		Mentoring & Tutoring			Mentoring & Tutoring

SAMPLE TEACHER SCHEDULE: ELA (BLOCK SCHEDULE)

		<i>A/1</i>	<i>B/2</i>	<i>C/3</i>	<i>D/4</i>	<i>E/5</i>	<i>F/6</i>
<i>Per</i>	<i>Bell Schedule</i>	<i>Monday</i>	<i>Tuesday</i>	<i>Wednesday</i>	<i>Thursday</i>	<i>Friday</i>	<i>Monday</i>
HR	8:20 – 8:35	Morning Meeting	Morning Meeting	Morning Meeting	Morning Meeting	Morning Meeting	Morning Meeting
1	8:39 – 9:22	601 ELA-Reading	601 ELA-Reading	601 ELA-Reading	601 ELA-Reading	601 ELA-Reading	601 ELA-Reading
2	9:26 – 10:09	601 ELA-Writing & Composition	601 ELA-Writing & Composition	601 ELA-Writing & Composition			
3	10:13 – 10:56	Prep for ELA	Prep for ELA	Prep for ELA	Prep for ELA	Prep for ELA	Prep for ELA
4	11:00 – 11:43	Lunch & Learn	Department Meeting	Lunch & Learn	Grade Level Meeting	Lunch & Learn	PLC
5	11:47 – 12:30	Lunch	Lunch	Lunch	Lunch	Lunch	Lunch
6	12:34 – 1:17	Independent Reading / Tutoring	Independent Reading / Tutoring	Independent Reading / Tutoring			
7	1:21 – 2:04	602 ELA-Reading	602 ELA-Reading	602 ELA-Reading	602 ELA-Reading	602 ELA-Reading	602 ELA-Reading
8	2:08 – 2:51	602 ELA-Writing & Composition	602 ELA-Writing & Composition	602 ELA-Writing & Composition			
HR	2:55 – 3:10	Afternoon Meeting	Afternoon Meeting	Afternoon Meeting	Afternoon Meeting	Afternoon Meeting	Afternoon Meeting
	3:10	<i>Dismissal</i>	<i>Dismissal</i>	<i>Dismissal</i>	<i>Dismissal</i>	<i>Dismissal</i>	<i>Dismissal</i>
	3:10-3:55 Professional work and additional small-group tutoring	Tutoring	Co-planning	Tutoring	Faculty gather or School leadership PLC	Co-planning	Tutoring

SAMPLE TEACHER SCHEDULE: OTHER ACADEMIC SUBJECTS

		<i>A/1</i>	<i>B/2</i>	<i>C/3</i>	<i>D/4</i>	<i>E/5</i>	<i>F/6</i>
<i>Per</i>	<i>Bell Schedule</i>	<i>Monday</i>	<i>Tuesday</i>	<i>Wednesday</i>	<i>Thursday</i>	<i>Friday</i>	<i>Monday</i>
HR	8:20 – 8:35	Morning Meeting	Morning Meeting	Morning Meeting	Morning Meeting	Morning Meeting	Morning Meeting
1	8:39 – 9:22	601 Math	601 Math	601 Math	601 Math	601 Math	601 Math
2	9:26 – 10:09	602 Math	602 Math	602 Math	602 Math	602 Math	602 Math
3	10:13 – 10:56	Prep for Math	Prep for ELA	Prep for ELA	Prep for ELA	Prep for ELA	Prep for ELA
4	11:00 – 11:43	Lunch & Learn	Department Meeting	Lunch & Learn	Grade Level Meeting	Lunch & Learn	PLC
5	11:47 – 12:30	Lunch	Lunch	Lunch	Lunch	Lunch	Lunch
6	12:34 – 1:17	Independent Reading / Tutoring	Independent Reading / Tutoring	Independent Reading / Tutoring			
7	1:21 – 2:04	603 Math	603 Math	603 Math	603 Math	603 Math	603 Math
8	2:08 – 2:51	604 Math	604 Math	604 Math	604 Math	604 Math	604 Math
HR	2:55 – 3:10	Afternoon Meeting	Afternoon Meeting	Afternoon Meeting	Afternoon Meeting	Afternoon Meeting	Afternoon Meeting
	3:10	<i>Dismissal</i>	<i>Dismissal</i>	<i>Dismissal</i>	<i>Dismissal</i>	<i>Dismissal</i>	<i>Dismissal</i>
	3:10-3:55 Professional work and additional small-group tutoring	Tutoring	Co-planning	Tutoring	Faculty gather or School leadership PLC	Co-planning	Tutoring

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University Prep Charter Middle School will adhere to the policies and practices of the existing education corporation to identify students who are struggling and at risk of academic failure.

Students with IEPs

UP Middle is developed from the ground up—in terms of curriculum, instructional model, and principles of classroom instruction—to ensure that every class, including those with IEP students, obtains a high success rate:

1. The school's *curriculum design* emphasizes complex content delivered partially through read-alouds and listening activities, giving students whose reading skills have not yet caught up with their listening skills the ability to comprehend, think, and argue about complex concepts and ideas in every class;
2. The school's *instructional model* emphasizes explicit instructional guidance that gives all students sufficient opportunities to practice and rehearse new skills and knowledge to create a high level of student expertise in topics and domains; and
3. The school's *principles of classroom instruction* strongly emphasize scaffolds, models, small-step presentation of new material, and careful independent-practice monitoring.

The target success rate at UP Middle for student understanding during guided practice during lessons is 80 percent, a rate that demonstrates that students are both learning the material and are sufficiently challenged. This rate includes all students, including those with IEPs. All classes at each grade level at UP Middle are heterogeneously organized and inclusive of all students, regardless of IEP status. Sections of classes with a sufficient number of students with IEPs are taught in an integrated co-teaching model. In these cases, the co-teaching model is fully collaborative: both subject and special education teachers contribute to the unit plan design, and plan and teach lessons using a variety of teaching models, including full co-teaching, monitor-teaching, and parallel teaching. Training helps support these teachers' work to improve their coordinated working styles and processes.

UP Middle's ICT classes require teachers to adapt and reshape lessons and assessments for some individual learners' needs. What makes these ICT classes so successful, however, is that lessons for all students are already organized using good instructional principles that reflect an understanding of both the limits of working memory and the cognitive supports needed to grasp complex ideas: extensive rehearsal of material already learned; modeling and worked examples in math and the sciences; regular and recurring review periods; practice after the introduction of newly learned material; and a focus on board-to-page design of consumables for students.

Finally, scheduling is organized to ensure that all students are zealously protected from interruption during their academic classes. Students are pulled out for related services and other support services during times in which they are not in their core academic subjects.

English-Language Learners

English-language learners (ELLs) at Upper Middle are taught the same rich content alongside their native-speaking peers using sheltered instructional strategies developed by the ESL teacher in collaboration with the content teachers. All ESL students must also achieve language objectives (in addition to content ones) in their classes—demonstrating what will be done with the language during the class, be it speaking, writing, listening, or reading. The ENL teacher works alongside the content teachers to develop language objectives that are fully integrated into the unit during the planning process. Teachers are further

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encouraged to ask all students to fulfill these language objectives during each class, in an effort to further emphasize the literacy aspect of every lesson.

Two distinct groups of ELLs in middle school stand out as high need—and indeed almost all middle school ELLs are captured in one of these two groups: long-term ELLs (LT-ELLs) and newcomers/beginners. Once they reach middle school, many ELLs are considered LT-ELLs—more often than not first-generation Americans who became ELLs upon starting school in New York City as kindergartners, six years earlier. These students have struggled to develop academic English, and have difficulty writing and reading grade-appropriate material. They are frequently among the furthest behind of all middle-school students in terms of reading levels and writing ability. These students need additional support developing cognitive and academic language proficiency. The ESL teacher targets this cohort of students in small-group settings to develop their proficiency in three main areas: reading fluency, confidence, and comprehension; academic and grade-appropriate vocabulary development; and grammar and usage development as a part of strengthening writing ability.

The ENL teacher also targets newcomers/beginners, another distinct set of ELLs, in small-group settings to develop basic, conversational English, focus on paired speaking practice, develop essential corpus vocabulary, and use the students' native language (L1) to help support their development of English. Upper Middle fully embraces the notion that continuing to support and recruit a student's L1 plays an important role in developing English language proficiency. For beginners and newcomers, many documents are translated, dual-language picture dictionaries and other materials are used, and an extensive collection of high-interest, grade-appropriate reading material is provided in the students' L1 so they can continue to remain cognitively challenged at all points during reading class. These students have iPads with them at all times for translation *and* content-understanding purposes.

The ENL teacher and content teachers also reach out to build strong ties with the parents of ELLs, encouraging the parents to continue to read to and with their children in their native language. The ESL teacher also works to help locate adult ESL services for family members so they can learn alongside their children, and provides material that both student and parent can use to develop their language proficiency together. The ESL teacher organizes four family nights a year in which ELL students present their work and, together with teachers and peers, celebrate their progress towards developing greater language proficiency and achieving greater success in their classwork.

Tutoring and Lunch and Learn

Students who need additional academic supports and who are struggling in their classes are required to spend up to six 45-minute periods a week (three during school and three after school) in Mentoring and Tutoring, the cornerstone of UP Middle's comprehensive academic support program to improve students' performance in the classroom. Students come to Mentoring and Tutoring with specific academic needs, identified by common formative assessments. This information allows precious intervention resources to be used effectively and efficiently, so teachers, mentors, tutors, and other school staff can concentrate on solving specific problems during remediation and intervention. As a result, struggling students have a clear understanding of why they are in Mentoring and Tutoring, what they need to improve upon, and how to achieve at higher levels.

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The Mentoring and Tutoring program consists of teachers in core academic subjects guiding and providing support to high-performing student-tutors and parent and outside mentors, who will work with struggling students on focused areas of need. These student and parent tutors and mentors are trained to help students review and master material on which they have fallen short. The program meets in school three periods a week, during which time the student mentors will work with targeted students, and after school three periods a week, during which time both student mentors earning community-service hours and parent and outside adult mentors work with targeted students. These periods also provide opportunities for other support staff to meet and counsel students—including mental-health counselors from the school clinic, guidance counselors and social workers from the Hunter School of Social Work, related services staff, and administrators.

Authority

For purposes of special education, disabled students attending a charter school are deemed public school students, and must be served in the same manner as students with disabilities including providing supplemental and related services on site at the charter school to the same extent to which the LEA has a policy or practice of providing such services to its other public schools. 34 C.F.R. §300.209.

Evaluation Process

Responsibilities of the Committees on Special Education

Committees on special education (CSEs) are responsible for the evaluation and placement of all students who attend a charter school in accordance with Section 2853(4) of the Charter Schools Act, are New York State residents and have, or are suspected of having a disability. Each CSE shall exercise that responsibility in accordance with an approved service model.

During any stage of any type of evaluation (initial, annual, requested) of a student attending a charter school in accordance with Section 2853(4) of the Charter Schools Act, the student shall be treated by the CSE in the same manner as a student attending school in the home district: s/he is to be evaluated in accordance with the same regulatory/judicial mandates and established procedures that apply for students attending a school in the home district (e.g., consent, timelines, team membership, etc.). In addition, the eligibility criteria for special education services are the same as those used for students attending all other public and non-public schools.

Responsibilities of UPCMS

When referring a student to the CSE, UPCMS will use the referral form available from the home district of the student. The referral will:

- A. indicate the reasons for the referral including any test results, records or anecdotal reports on which the referral is based;
- B. describe the attempts (e.g. academic intervention/prevention services) made to remediate the student's performance prior to the referral or the reason no such attempts were made; and
- C. describe the extent of parental contact or involvement prior to the referral. The evaluation process will begin when the referral is completed and submitted to the CSE.

UPCMS will fully cooperate with the evaluation process, allowing for classroom observations, records

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exchange, and the participation of the student's teacher or teachers and/or related service providers or school nurse in the CSE review meeting. UPCMS will not, in any way, unilaterally amend a student's Individualized Education Program (IEP) but, may seek to amend an IEP to better align with the programs and/or services offered by the school.

Since a charter school is considered a public school for purposes of the provision of special programs and services, the same rights and responsibilities regarding records transfer and access to records under the federal Family Educational Rights and Privacy Act (FERPA) as between the home district apply to records transfer and access between UPCMS or the education corporation and the CSE. UPCMS will maintain full confidentiality of records in accordance with the federal Individuals with Disabilities Education Act (IDEA) and FERPA and the implementing federal regulations. (34 C.F.R. §§ 300.560— 300.577; 34 C.F.R. Part 99).

Recommendation Process

Determination based on student's needs.

The identified individual needs of a student attending a charter school, in accordance with the IDEA and its charter agreement, must drive his/her program/service recommendation(s), regardless of the availability of services at the charter school. While the development of an IEP should be a consensus driven process, the CSE has ultimate responsibility to ensure that the IEP recommends the services that the student needs in order to receive a free appropriate public education (FAPE).

If it is determined that the student is eligible for special programs and services, the CSE shall recommend the type and intensity of required programs and services, subject to III.(b).

Consideration of charter school's educational program.

Unlike a district school, charter schools are exempt from all State requirements relating to class size and instructional groupings, and are not required to follow or to provide program and services in accordance with a continuum. Thus, the CSE should consider whether that school's innovative general educational program and approach to the delivery of special education services (one that is consistent with the IDEA, Section 504 of the federal Rehabilitation Act of 1973 and federal regulations) can appropriately meet the student's identified individual needs. If the CSE determines that UPCMS' programs and settings can appropriately meet those needs, the CSE team may recommend those programs and settings and draft them into the IEP.

Placement Recommendations.

Initial Placement. Pursuant to state law, a charter school's admissions process is based on a blind lottery system. (The charter school has no knowledge of an applicant's educationally related disability until after the lottery selection). Therefore, the CSE *cannot* recommend student's initial placement in a charter school.

For students attending a charter school in accordance with Section 2854(2) of the Charter Schools Act: The CSE may recommend the program provided by the charter school for the student if the IEP team has determined that the program at the charter school would meet the student's identified educational needs.

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In all cases, the IEP team must determine educational needs of the child consistent with the IDEA (FAPE and least restrictive environment) and inform the charter school of its IEP determination. If the IEP requires a program or services not currently offered by the charter school, the charter can opt to offer the program or services at the charter school, or have the home district provide some or all of the program or services. In very rare cases (e.g. autism, visual impairment), the child's identified educational needs may only be met by a specialized program in the home district.

UPCMS Charter School Responsibilities.

After a student is admitted to the school in accordance with Section 2854(2) of the Charter Schools Act, the school will review the student's IEP to determine what services are recommended for the student and whether the school is capable of providing the special education services as set forth on the IEP. If our team determines that it is unable to provide (or contract to provide) some or all of services as recommended on the student's IEP, the school will either: a) request that the CSE meet to review and if appropriate, amend the IEP; or b) request through the CSE that the home district provide those services that UPCMS is unable to provide. The school will make best efforts to develop innovative and flexible special education service models that will allow for the student's needs to be met at the school. If the school is unable to provide the services and has accordingly requested an IEP team meeting to amend the IEP, the school will continue to educate the student with services as per the IEP until the student has been otherwise placed. UPCMS would not attempt to suspend such students other than for disciplinary reasons.

As LEA for the purposes of IDEA, the various school districts must collect information regarding the provision of special education services for students with disabilities. As public schools, charter schools are required to provide this data.

Provision of Services

Generally.

In educating a student with a disability, the school may provide the services directly, may provide services indirectly by contracting with a third-party provider, or arrange with the home district for the provision of special education services. Education Law § 2853(4).

Remedies

Parent's rights.

The parents of disabled students attending a charter school may request mediation and/or a due process hearing, in accordance with applicable federal laws and regulations, relating to the identification, evaluation or educational placement of their child.

Parents shall not have the right to request mediation or a due process hearing in order to attempt to circumvent the provisions of Section 2854(2) of the Charter School Act to obtain initial enrollment in a charter school.

Charter school's rights: Pursuant to federal and state law, because a charter school is a school within an LEA, a charter school seeking to bring an impartial hearing must file such a request with the CSE. Thereafter, it is the CSE's responsibility to contact the Impartial Hearing Office to request the hearing, and

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to work with the charter school to the extent necessary.

Section 504 Plans

Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794) provides that:

“No otherwise qualified individual with handicaps in the United States ...shall, solely by reason of her or his disability, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance....”

The definition of disabled under Section 504 is broader than the definition of a child with a disability under IDEA and NYS Education Law. Under the Rehabilitation Act, a disabled person includes anyone who

- has a physical or mental impairment which substantially limits one or more major life activities,
- has a record of such an impairment, or
- is regarded as having such an impairment

A student may be referred to the building 504 committee by school personnel, the parent(s)/guardian(s), or by the CSE, if the student is found ineligible for special education.

The school has a designated 504 team. The members include the principal, child’s teacher, parent, and additional staff as appropriate. The parent must sign consent for evaluation. Upon completion of the evaluation(s), a meeting convenes to determine eligibility as per 504 and a 504 Accommodation Plan is developed. Each 504 Student Accommodation Plan is reviewed by the committee and the parent(s)/guardian(s) on an annual basis to determine continuing needs, modifications, or additions.

The child may receive modifications and/or accommodations including, but not limited to, assistive technology, extra time for tests, preferential seating, oral tests, frequent breaks, modified class schedule, visual aids, taping lectures, and behavior intervention plans. The actual accommodations recommended will be based on the individual’s specific needs.

University Prep Charter Middle School
R-08ad – Instructional Leadership

University Prep Middle School School will be defined by instructional leadership paradigms presently in place at University Prep Charter High School. The school leader for UPCMS will serve as principal-in-residence at University Prep Charter High School during the 2018-19 school year and continue to refine instructional leadership practices and school culture.

(a) Instructional Leadership Roles

Distributive Leadership

UP Middle promotes a strong sense of shared purpose and common culture by placing responsibility and reliance on faculty and staff to play chief roles in shaping and implementing the programs, initiatives, and systems that represent the lifeblood of the school. Having faculty and staff members help make key decisions raises the collective energy in school and gives everyone a shared sense of mission and purpose. The goal is to ensure that as many adults as possible in the building share in the core beliefs of the vision and work together to animate its spirit.

Teacher Teams

Teachers grow and expand their capacities best when they work alongside people they know and trust. Teachers assume central leadership and decision-making roles at UP Middle by steering five teams focused on instructional improvement. These communities are designed to involve faculty members in every aspect of instructional practice, curriculum evolution, and student performance. Teachers in these groups also help to organize, select, and manage the training that comes in the form of professional development and workshops. Having teams manage staff development ensures that there is good justification for training, that the training has real value based on research, and that there is follow-up after to ensure that the learning was purposeful and applied. These five teams include:

1. The instructional leadership team, which includes the most respected teachers who represent all grades and major subject areas, works to create, refine, evaluate, and circulate detailed lessons, units, and shared assessments. By working together to develop a growing set of standards-based lessons that can be used for years to come, teachers build the very foundation on which the school is built. As the year progresses, the task is to create lessons on the basis of prior results. The group quickly trades on information, processes and synthesizes it, and shares it with the larger community as quickly and as efficiently as possible. The end goal is for teachers to see the benefit of their work in weeks, not months.
2. The instructional practice team works to evaluate and circulate the best practices both within the school and based on research, with the task of refining and improving expected instructional practices in the school and setting baseline expectations for instructional activities in all classes. The team helps to create training opportunities for teachers that present and demonstrate what great instructional practice looks like, how to effectively implement it, and how to ensure that the practices stick as the school year progresses. The end goal is to encourage a consistent high level of delivery and presentation across classrooms, and to create clear expectations for faculty.
3. The classroom organization and systems team works to evaluate and circulate the best practices surrounding all aspects of classroom organization and appearance, school-wide positive behavioral programs, school-wide public-area appearance, language used when speaking to students, norms of moving within and between classrooms, norms pertaining to personal student

materials and the storage of materials, and other initiatives and systems that contribute to the tone and culture of the school. This team also creates training procedures that helps teachers set high expectations for student behavior. The end goal is to encourage consistency across classrooms, and to create clear expectations for students.

4. The faculty observation team works to create systems that allow faculty to frequently observe and learn from one another. The team's work includes the use of videotaping to allow for frequent observations, the creation of norms and protocols that allow teachers to present lessons and have a discussion about them, the development a system of instructional rounds that allows colleagues to assess and discuss a targeted aspect of instruction and curriculum, and the development of quarterly curriculum reviews to gain a larger view of how well teachers are organizing and teaching lessons and units as the year progresses. In addition, a measure of teachers' annual evaluation is linked to systems created by this team. The end goal is to help teachers learn from one another in a regular, consistent manner using results to drive improvement and make changes.
5. The faculty hiring team works to set a high bar for hiring, creates systems to encourage and ensure that great teachers remain at the school, and works to make all new hires occur as early as possible in the year.

(b) Ongoing Teacher Supervision and Support

Teacher Improvement and Observation Feedback

Teachers will expect to receive frequent and direct feedback from their leaders, and they should expect the leadership of the school to be adult learners themselves. This commitment to teacher improvement is reflected in a cycle of observations; study groups/professional learning; teacher-practice; further observations; and individual coaching:

1. School leaders conduct frequent observations of every classroom on the same grade during the same time period. What was observed, what challenges and strengths were noticed, why was this important? These reflections are provided to the teacher in written or spoken form. These observations are designed to help teachers grow and help leaders think about how best to support them, not just about evaluating their performance for keeps.
2. The school leaders call teachers together for a study group, or professional learning work, to discuss what was observed and work together to brainstorm and identify ways to strengthen practice—with an eye towards how to prepare for and teach a subsequent lesson more effectively or efficiently. These groups are an opportunity for teachers to not just focus on technique or procedure, but to focus on the content of what is being taught in a given unit—and to ensure that the content is presented in an engaging way.
3. Teachers then work together to practice teaching an upcoming lesson together.
4. Leaders do subsequent observations to assess the impact of their interventions; this often starts a new cycle.
5. Teachers receive additional specific coaching based on particular needs.

Leader Study Groups

University Prep Charter Middle School
R-08ad – Instructional Leadership

The principal along with other school leaders gather on a regular basis to study and plan lessons together. This allows leaders to think through challenges that teachers may face in their classrooms; game plan how to best address these challenges; sharpen their own coaching and feedback practice, and practice teaching on each other. These study groups also provide leaders with a regular time to ensure that they are familiar with the texts and the material that is being read and used in classes. Analyzing this data involves:

- identifying trends and disaggregating the data by subgroup
- initiating a broad needs-assessment that would ask all members of the community to honestly and openly reflect on the data to date and identify concerns and issues that they noted
- faculty conversation about the data and discussion of two or three high-leverage points that would have the greatest impact on the most significant number of students

(c) Ongoing Professional Development

Just as all curriculum springs from a shared, unified foundation and all teaching practice is anchored in a specific instructional model with a number of shared instructional principles, so too does all continuous teacher training and learning share a number of “touchstone” texts that promote consistency across classrooms, including the Core Knowledge sequence Guides and Handbooks for each school year, Doug Lemov’s “Teach Like a Champion,” and Grant Wiggins and Jay McTighe’s “Understanding by Design, 2nd edition.”

The ongoing professional learning, which begins in the summer during pre-service time in UP University, is organized around four key areas:

	Topic(s) & Description(s)
1	The Curriculum: Understanding the Core Knowledge sequence, integrating it among classes, and mapping out ten units per class
2	The Performance Tasks: Building thought-provoking and challenging capstone projects that require mastery and independent work
3	The Instructional Model: Mastering and practicing effective classroom practices and instructional strategies that support fully guided instruction
4	The Systems that Build Culture and Celebrate Hard Work: Using the tracker, the section sheet, and the recognition program to identify and reward working hard, being nice, and doing the right thing

This work is designed to help teachers start from the same place, forge habits of behavior and systems of communication, and create opportunities to continue to grow throughout the year. The materials created and circulated during these days will also provide a foundation on which to build a program of continuous improvement in practice as the year progresses.

A. The Curriculum

Teachers understand how to effectively implement and teach the school’s curriculum by participating pre-service professional development focused on the Core Knowledge Curriculum, as noted above. This work is divided into three parts, each of which is built around an essential question: 1) What is the content of the Core Knowledge sequence? 2) How will we integrate the sequence into content-specific areas at the middle school level and support students who were not enrolled in elementary schools built on Core Knowledge sequence? 3) What units, for each subject area, will each middle school student experience in sixth grade, seventh grade, and eighth grade, and how will departments ensure that knowledge builds on knowledge?

To begin to answer the first question built into the Curriculum PD, teachers are provided with an overview of the Core Knowledge sequence and discusses responses to and experiences with the progression of knowledge that builds on knowledge, starting from kindergarten level to grade eight. When teachers understand the progression, we closely examine the sequences and domains at the middle-school level, and collaboratively identify potential gaps in understanding that we account for in our integration of the Core Knowledge curriculum. By identifying potential gaps in understanding before the first day of school, teachers are proactive about breaking information into small chunks as they plan detailed units and lessons that they teach later in the year. The curriculum plan provides a tool for verifying and ensuring that Core Knowledge content is addressed, guides the coherent sequencing of domains to ensure that knowledge is building on knowledge, encourages consistency across the school community, and creates a basis of communication between the school, parents, and the community.

The culminating work is for each department to create a preliminary map of ten sequential units per grade for each subject area. This map guides teachers during the school year as they build units within the Core Knowledge sequence. Over the school year, teachers flesh out the maps generated in UP University by creating detailed instructional, domain-based unit plans that include individual lesson plans.

Regularly scheduled planning time across grade levels and within departments supports the successful development and renewal of the maps that are initially written at the start of the year. Professional learning communities also work to revivify aspects of curriculum design and student assessment as the school year progresses and we learn more about the strengths and weaknesses of our students.

B. The Performance Tasks

The second focus is on writing draft versions of each of the performance tasks for the units. Teachers walk through the criteria for and review samples of previously-written excellent and standard-bearing lessons and units. Next, teachers walk through the steps that were taken to design a sample unit as reflected in the design beliefs set forth in Wiggins and McTighe’s “Backward Design Planning.” Using this model,

teachers flesh out the lessons that build up to the culminating project of a unit, after they design the actual culminating project.

The purpose of this work is to support teachers in curriculum writing and to identify the skills and background knowledge students need to know in order to successfully complete each unit's performance task. We build on the work initially done during the summer throughout the year, as teachers use the performance tasks to inform the planning of their overarching unit plans and scaffolded day-to-day lessons.

By working together to develop a growing set of standards-based performance tasks that can be revisited, revised, and used for years to come, teachers build the very foundation on which the school is built. The Core Knowledge sequence is now fully aligned with the Common Core State standards and every assessment created by teachers at Borough Common will use the performance indicators in the Common Core State standards.

C. The Instructional Model

Teachers are taught in a collaborative setting to effectively implement the school's shared curriculum by adhering to principles of instruction and teaching that are anchored in best-practices research. At UP Middle, teachers are taught during professional development, and discuss and study through professional learning communities, the value of and techniques behind ten high-impact fully guided instructional strategies. Each of the ten are expected to be part of all classroom practice *consistently*. All teachers:

1. Begin each lesson with a review of previous learning;
2. Present new material in small steps, stopping to allow students to practice;
3. Ask many questions constantly of all students, sometimes requiring hands up and other times requiring hands down, using prepared, rehearsed sentence stems that require students to be specific when answering;
4. Provide multiple models, or worked examples, that are differentiated based on proficiency level or experience with the topic;
5. Guide student practice to the degree that is necessary so that the vast number of students in the class gain understanding;
6. Frequently stop to check for understanding using questions or asking for agreement or disagreement;
7. Obtain a high success rate during classroom instruction, which buoys students' confidence and ensures early on that students are not practicing errors;
8. Provide scaffolds for difficult tasks, such as models, exemplars, checklists, and visual aids;
9. Require and carefully monitor independent practice, so that skills and knowledge become automatic and can be easily accessed from working memory the next day or the next week; and,
10. Conduct regular weekly and monthly reviews in which knowledge and skills are summarized, rehearsed, and reviewed.

To build on the work we do during this PD during the school year, teachers participate in small round-robin videotape observation communities (VLCs) as well as observe one another in rounds. Time is set aside each week for groups to gather and observe the videotapes. Teachers use a guided discussion protocol to discuss the lesson and reflect on strengths and needs.

Teachers also watch each other through instructional rounds. The rounds specifically involve classroom observation, a targeted improvement strategy, and a network of teachers moving together. The teachers, however, use rounds as an inquiry process, and use others' classrooms to reflect on how they could improve their own.

D. The Systems that Build Culture and Celebrate Hard Work

The fourth area of work focuses on the systems that build culture and celebrate hard work at UP Middle. Teachers learn how to use the section sheet, and the recognition program to identify and reward working hard, being nice, and doing the right thing. The ultimate goal of this work is for teachers to understand how to use two of the major systems that unify the school and celebrate hard work.

Each homeroom at UP Middle carries a section sheet that teachers complete at the end of every class. The section sheet empowers staff and students to know how classes are doing as they progress through the day, and also allows students to immediately reflect on their behavior through the lens of the teacher. These sheets are a rich source of in-class data: teachers, counselors, and school leaders review previous section sheets during meetings with parents to demonstrate instances and trends of on-task, great behavior, or behavior that may need improvement. Each section sheet folder includes five sheets per week—one for each day, with separate spaces for a whole-class score and an individual student score. The sheets are designed to call out great behavior and actions, with codes such as +Reading, +Good Citizenship, +Participation, +Focus. Each week, homeroom teachers send a commendation notification to the parents of students who earn all pluses and no X's. Each week, the homeroom that garners the most section sheet points wins dress-down for the following Friday. The students who garnered the most plusses for the week in each grade are given "shout outs" in the daily announcements each day of the following week.

The Recognition Program is tied to both the section sheet and to the teacher's online grade book reports. The program provides privileges to students who both maintain satisfactory grades in all of their classes and exemplify positive behavior. Privileges include transitioning freely from class to class (without having to line up and walk with the teacher), Thursday dress-down days, the option to go off-campus for lunch every day, and priority for school trips and activities. Under this system, students are coded "Green," "Yellow," or "Red." Every two weeks, homeroom teachers "recode" the individual students in their homeroom based on updated section sheet reports and updated grade books. The recognition program not only acknowledges students who are working hard, being kind, and doing the right thing, but it helps to motivate students who have gotten off-track by providing opportunities to gain privileges and "renew" their code every two weeks.

Common Classroom Practices

Teachers are taught in a collaborative setting to effectively implement the school's shared curriculum by adhering to principles of instruction and teaching that are anchored in best-practices research. At UP Middle, teachers are taught during professional development, and discuss and study through professional learning communities, the value of and techniques behind ten high-impact fully guided instructional strategies. Each of the ten are expected to be part of all classroom practice *consistently*. All teachers:

1. Begin each lesson with a review of previous learning;

2. Present new material in small steps, stopping to allow students to practice;
3. Ask many questions constantly of all students, with both hands up and hands down, using prepared, rehearsed sentence stems that require students to be specific when answering;
4. Provide multiple models, or worked examples, that are differentiated based on proficiency level or experience with the topic;
5. Guide student practice to the degree that is necessary so that the vast number of students in the class gain understanding;
6. Frequently stop to check for understanding using questions or asking for agreement or disagreement;
7. Teachers obtain a high success rate during classroom instruction, which buoys students' confidence and ensures early on that students are not practicing errors;
8. Provide scaffolds for difficult tasks, such as models, exemplars, checklists, and visual aids;
9. Require and carefully monitor independent practice, so that skills and knowledge become automatic and can be easily accessed from working memory the next day or the next week; and
10. Conduct regular weekly and monthly reviews in which knowledge and skills are summarized, rehearsed, and reviewed.

To practice and reinforce these ten instructional principles, the faculty studies and practices activities around Lemov's forty-nine techniques, teacher moves, and approaches contained in his book "Teach Like a Champion." The text presents key moves that teachers use everyday to demonstrate their commitment to high expectations, full participation, involving all students in lessons, and creating a strong classroom culture. This practice ensures that all teachers, for example, use systems to call on all students and that students give accurate and completely correct answers, that teachers have their objective, written in plain English, posted in the same location each day, and that there is a joyful and controlled entry routine to the classroom that ensures that all students quickly get down to work.

(d) Teacher Evaluation and Accountability

UP Middle uses a comprehensive, organized, and easy to access system for observing, evaluating, and refining classroom practice, the Thoughtful Classroom Framework. Teachers are assessed during each visit using a four-point rubric of novice, developing, proficient, and expert. Each instance of informal observation focuses on one of the four "cornerstones of effective teaching" or one of the five "critical episodes of effective instruction" that increase the likelihood of deep learning at UP Middle. During UP University, teachers are given a copy of the framework and all the instructional indicators as well as sample student behaviors that might indicate the well-developed presence of a cornerstone or episode:

Four Cornerstones of Effective Learning:

1. Does the classroom have organization, rules, and procedures that are school-aligned?
2. Does the teacher build meaningful relationship with the students?
3. Does the teacher motivate students to do their best work and inspire a love of learning?
4. Does the teacher develop a classroom culture that promotes serious learning and thinking?

Five Episodes of Effective Instruction

1. Is the teacher preparing students for new learning?
2. Is the teacher effectively presenting new learning?
3. Is the teacher deepening and reinforcing new learning?
4. Is the teacher creating opportunities to apply learning?

5. Is the teacher reflecting on and celebrating learning?

Collegial observations by other teachers are also an important part of each teacher's improvement efforts. These collegial observations rotate among teachers and administrators throughout the school year, creating a continual process that is regular, reciprocal, and a core part of the instructional lifeblood of the school. These collegial observations use the same framework.

Finally, UP Middle promotes faculty self-guided development by asking each teacher to commit to one area of development each year; by promptly reimbursing teachers through per-session for expenditures and time related to the development; and by creating presentation days or meetings during which teachers discuss their annual development initiatives. Near the end of the year, this work is compiled and self-published in a report titled "Teacher Research and Inquiry." This work is shared with other schools in the hopes of promoting cross-school teacher development efforts.

All teachers create annual growth plans, and the teacher need and tenure length determine if they are highly directed, collaborative, or teacher-directed. Teachers who struggle regularly and repeatedly with upholding instructional standards or who fail to incorporate the school's core teaching principals in their lessons are offered close support by the administration. Teachers receive very specific and targeted feedback, along with a list of suggestions to improve practice. These come in the form of overview conferences at the start of the year with the school's administration, informal classroom visits, classroom environment surveys, time-on-task reviews, a review of portfolio and student work, walkthroughs, and formal observations. With this feedback in hand, teachers who need additional support are given specific metrics to improve over the course of a set time frame.

University Prep Charter Middle School
R-09a – Culture and Discipline

Beginning in 2018-2019, the UPCMS prospective school leader will work as a principal-in-residence at University Prep Charter High School. In that capacity, the school leader will work to refine the ways in which UPCMS will operate. Among the first hires to be made by the Principal will be the Dean of School Culture who will be charged with providing organizational leadership on these matters. The Principal will truly serve as an instructional leader across the school. The Dean of School Culture will mold and shape and nourish the evolving culture of UPCMS.

The cornerstone of the UPCMS culture will reinforce what is already being done at UCPHS. For example, UCPHS is rooted around student ownership of the Core Four values.¹ UPCMS will work to establish the same core values among our new students beginning in 2019.

The proposed discipline policy for infractions will be as follows:

1) Behavior Infractions and the Progressive Discipline Ladder

The Progressive Disciplinary Response Ladder divides infractions into five levels of severity:

Level 1 Infractions:

- 1st and 2nd occurrences: 1:1 conference between teacher and student
- 3rd occurrence: 1:1 conference between teacher and student, as well as parent/guardian notification
- 4th occurrence: Meeting with teacher, student, parent/guardian, and dean of discipline
- 5th occurrence: 60 - 90 minute detention
 - Uncooperative or noncompliant actions
 - Cursing, “N” word, inappropriate/foul language
 - Dress code violations
 - General disruption (calling out, excessive talking, etc.)
 - Lateness to class (any time of day)
 - Loitering
 - Play fighting

Level 2 Infractions:

- 1st occurrence: 1:1 conference between teacher and student, parent/guardian notification, and 90 minute detention
- 2nd occurrence: Meeting with teacher, student, parent/guardian, dean of discipline, and administrator; 90 minute detention
- 3rd occurrence: removal from class
 - Disorderly and malicious behavior
 - Bullying
 - Cheating
 - Failure to attend meeting scheduled with teacher
 - Fighting
 - Forgery
 - Plagiarism
 - Possession of “tagging” materials
 - Vandalism

¹ http://upchs.org/our_mission/the_core_four

University Prep Charter Middle School
R-09a – Culture and Discipline

Level 3 Infractions:

- 1st occurrence: Meeting with teacher, student, parent/guardian, dean of discipline and administrator; 90 minute detention
- 2nd occurrence: Meeting with teacher, student, parent/guardian, dean of discipline and administrator; two 90 minute detentions
 - repeatedly disruptive behavior, or displaying a pattern of negative behavior
 - Excessive lateness to school
 - Multiple absences without verified note
 - Multiple detentions
 - Multiple removals
 - Repeated infractions (level 1 or 2)

Level 4 Infractions

- (one-to-te day in-school suspension AND behavioral contract)
 - aggressive and/or excessive pattern of negative behavior
 - Behavior threatening/jeopardizing others
 - Excessive detentions
 - Inappropriate conflicts with students or staff
 - Inappropriate posting of information/gossip online/on paper to do harm to any University Prep student or staff
 - Repeated bullying/cyberbullying
 - Repeated offense that resulted in previous suspension
 - Repeated pattern of negative/destructive behavior that violates school discipline code
 - Possession of illegal materials
 - Theft or destruction of school or personal property
 - 3 or more removals

Level 5 Infractions

- (immediate probation or expulsion)
 - injurious, violent, or dangerous behavior
 - Repeated violations of levels 1-4 infractions

2) Harassment and Bullying

Harassment and bullying of or by any student will be investigated in a prompt, confidential, and thorough manner. Harassment and bullying occurs when an individual is subjected to treatment that is hostile or intimidating because of the individual's age, race, color, nationality, creed, physical disability, gender, or sexual orientation, and includes, but is not limited to, any or all of the following:

1. Verbal Harassment/Bullying: any written or verbal language or physical gesture directed at a teacher or student that is insolent, demeaning, abusive, or implicitly or explicitly implies a threat of bodily harm
2. Physical Harassment/Bullying: any unwanted physical touching or contact, assault, deliberate impeding or blocking of movements, or any intimidating interference with normal work or movement
3. Visual Harassment/Bullying: derogatory, demeaning, or inflammatory posters, cartoons, written words, drawings, or gestures

University Prep Charter Middle School
R-09a – Culture and Discipline

4. Sexual Harassment/Bullying: includes unwelcome sexual advances and/or verbally or physically offensive conduct of a sexual nature.
5. Cyber harassment/Cyber bullying: any form of harassment where some portion of the negative actions taken is done electronically.

The following procedures will be followed when University Prep investigates a harassment or bullying claim:

- I. The student may first choose to tell the individual causing the harassment/bullying that his/her conduct is offensive and must stop. If the objectionable behavior does not cease immediately, the student must report the harassment/bullying.
- II. The student alleging harassment/bullying will be asked to complete a formal, written complaint. The claim will be investigated thoroughly, involving only the necessary parties. Confidentiality will be maintained as much as possible.
- III. The investigation will include a meeting with the person alleged to have harassed/bullied, sharing with that person the nature of the allegations as well as the name of the person bringing the allegations.
- IV. Once the facts of the case have been gathered, University Prep staff will decide what, if any, disciplinary action is warranted. The disciplinary action will relate to the nature, context, and seriousness of the harassment and can include all disciplinary actions up to and including immediate expulsion.
- V. If the complaint is against a non-employee or non-student, such as a parent, volunteer, or vendor, the school will take steps, within its power, to investigate and eliminate the problem.

3) Detentions & Suspensions

- Students serving detention will be required to stay after school for 60-90 minutes, depending on the infraction
- In-school suspensions may be assigned from 1-10 days, based on the severity/pattern of behaviors

University Prep Charter Middle School
R-09b – Culture and Discipline

The proposed discipline policy for infractions will be as follows:

1) Behavior Infractions and the Progressive Discipline Ladder

The Progressive Disciplinary Response Ladder divides infractions into five levels of severity:

Level 1 Infractions:

- 1st and 2nd occurrences: 1:1 conference between teacher and student
- 3rd occurrence: 1:1 conference between teacher and student, as well as parent/guardian notification
- 4th occurrence: Meeting with teacher, student, parent/guardian, and dean of discipline
- 5th occurrence: 60 - 90 minute detention
 - Uncooperative or noncompliant actions
 - Cursing, “N” word, inappropriate/foul language
 - Dress code violations
 - General disruption (calling out, excessive talking, etc.)
 - Lateness to class (any time of day)
 - Loitering
 - Play fighting

Level 2 Infractions:

- 1st occurrence: 1:1 conference between teacher and student, parent/guardian notification, and 90 minute detention
- 2nd occurrence: Meeting with teacher, student, parent/guardian, dean of discipline, and administrator; 90 minute detention
- 3rd occurrence: removal from class
 - Disorderly and malicious behavior
 - Bullying
 - Cheating
 - Failure to attend meeting scheduled with teacher
 - Fighting
 - Forgery
 - Plagiarism
 - Possession of “tagging” materials
 - Vandalism

Level 3 Infractions:

- 1st occurrence: Meeting with teacher, student, parent/guardian, dean of discipline and administrator; 90 minute detention
- 2nd occurrence: Meeting with teacher, student, parent/guardian, dean of discipline and administrator; two 90 minute detentions
 - repeatedly disruptive behavior, or displaying a pattern of negative behavior
 - Excessive lateness to school
 - Multiple absences without verified note
 - Multiple detentions
 - Multiple removals
 - Repeated infractions (level 1 or 2)

University Prep Charter Middle School
R-09b – Culture and Discipline

Level 4 Infractions

- (one-to-te day in-school suspension AND behavioral contract)
 - aggressive and/or excessive pattern of negative behavior
 - Behavior threatening/endangering others
 - Excessive detentions
 - Inappropriate conflicts with students or staff
 - Inappropriate posting of information/gossip online/on paper to do harm to any University Prep student or staff
 - Repeated bullying/cyberbullying
 - Repeated offense that resulted in previous suspension
 - Repeated pattern of negative/destructive behavior that violates school discipline code
 - Possession of illegal materials
 - Theft or destruction of school or personal property
 - 3 or more removals

Level 5 Infractions

- (immediate probation or expulsion)
 - injurious, violent, or dangerous behavior
 - Repeated violations of levels 1-4 infractions

2) Harassment and Bullying

Harassment and bullying of or by any student will be investigated in a prompt, confidential, and thorough manner. Harassment and bullying occurs when an individual is subjected to treatment that is hostile or intimidating because of the individual's age, race, color, nationality, creed, physical disability, gender, or sexual orientation, and includes, but is not limited to, any or all of the following:

1. Verbal Harassment/Bullying: any written or verbal language or physical gesture directed at a teacher or student that is insolent, demeaning, abusive, or implicitly or explicitly implies a threat of bodily harm
2. Physical Harassment/Bullying: any unwanted physical touching or contact, assault, deliberate impeding or blocking of movements, or any intimidating interference with normal work or movement
3. Visual Harassment/Bullying: derogatory, demeaning, or inflammatory posters, cartoons, written words, drawings, or gestures
4. Sexual Harassment/Bullying: includes unwelcome sexual advances and/or verbally or physically offensive conduct of a sexual nature.
5. Cyber harassment/Cyber bullying: any form of harassment where some portion of the negative actions taken is done electronically.

The following procedures will be followed when University Prep investigates a harassment or bullying claim:

- I. The student may first choose to tell the individual causing the harassment/bullying that his/her conduct is offensive and must stop. If the objectionable behavior does not cease immediately, the student must report the harassment/bullying.
- II. The student alleging harassment/bullying will be asked to complete a formal, written complaint. The claim will be investigated thoroughly, involving only the necessary parties. Confidentiality will be maintained as much as possible.

University Prep Charter Middle School
R-09b – Culture and Discipline

- III. The investigation will include a meeting with the person alleged to have harassed/bullied, sharing with that person the nature of the allegations as well as the name of the person bringing the allegations.
- IV. Once the facts of the case have been gathered, University Prep staff will decide what, if any, disciplinary action is warranted. The disciplinary action will relate to the nature, context, and seriousness of the harassment and can include all disciplinary actions up to and including immediate expulsion.
- V. If the complaint is against a non-employee or non-student, such as a parent, volunteer, or vendor, the school will take steps, within its power, to investigate and eliminate the problem.

3) Detentions & Suspensions

- Students serving detention will be required to stay after school for 60-90 minutes, depending on the infraction
- In-school suspensions may be assigned from 1-10 days, based on the severity/pattern of behaviors

University Prep Charter Middle School
R-09c – Special Education Policy

University Prep Charter Middle School will operate within the legal frameworks and regulations established under 34 CFR 300.530 and 300.536, as well as federal regulations in the Individuals with Disabilities Education Act (IDEA). To protect the dignity and rights of students with disabilities, we have developed the following policy, based on the existing laws and models established by existing charter school networks.¹

The Special Education Policy of the proposed charter school shall be as follows:

A student identified as an individual with disabilities pursuant to the Individuals with Disabilities Education Act (IDEA), 20 USC 1400-1482, is subject to the same grounds and procedures for suspension and expulsion which apply to students without disabilities, except as otherwise specified in this administrative regulation.

Suspension

Our Superintendent or Principal may suspend a student with a disability for up to 10 consecutive school days for a single incident of misconduct, and for up to 20 school days in a school year, as long as the suspension(s) does not constitute a change in placement pursuant to 34 CFR 300.536. (Education Code 48903; 34 CFR 300.530)

Our Superintendent, principal, or dean of school culture shall monitor the number of days, including portions of days, in which a student with a valid individualized education program (IEP) has been suspended during the school year. The Superintendent, principal or designee shall determine, on a case-by-case basis, whether a pattern of removals of a student from his/her current educational placement for disciplinary reasons constitutes a change of placement. A change of placement shall be deemed to have occurred under either of the following circumstances: (34 CFR 300.536)

1. The removal is for more than 10 consecutive school days.
2. The student has been subjected to a series of removals that constitute a pattern because of all of the following:
 1. The series of removals total more than 10 school days in a school year.
 2. The student's behavior is substantially similar to his/her behavior in previous incidents that resulted in the series of removals.
 3. Additional factors, such as the length of each removal, the total amount of time the student has been removed, and the proximity of the removals to one another, indicate a change of placement.

If a student's removal is determined to be a change of placement as specified in items #1- 2 above, or the student is suspended for more than 10 school days in the same school year, the student's IEP team shall determine the appropriate educational services. Such services shall be designed to enable the student to

¹ The policy is based on language developed by the Bronx Charter School for Excellence, The Academy Charter School (Hempstead) as well as the NYS regulatory code.

University Prep Charter Middle School
R-09c – Special Education Policy

continue to participate in the general education curriculum in another setting, to progress toward meeting the goals set out in his/her IEP, and to address the student's behavior violation so that it does not recur. (20 USC 1412(a)(1)(A); 34 CFR 300.530) If the IEP of a student with a disability requires the district to provide the student with transportation, the district shall provide the student with an alternative form of transportation at no cost to him/her or to his/her parent/guardian when he/she is to be excluded from school bus transportation. (Education Code 48915.5) (cf. 3541.2 - Transportation for Students with Disabilities)

Interim Alternative Educational Placement Due to Dangerous Behavior

The district may unilaterally place a student with a disability in an appropriate interim alternative educational setting for up to 45 school days, without regard to whether the behavior is a manifestation of the student's disability, when the student commits one of the following acts while at school, going to or from school, or at a school-related function: (20 USC 1415(k)(1)(G); 34 CFR 300.530)

1. Carries or possesses a weapon, as defined in 18 USC 930
2. Knowingly possesses or uses illegal drugs
3. Sells or solicits the sale of a controlled substance as identified in 21 USC 812(c), Schedules I-V
4. Inflicts serious bodily injury upon another person as defined in 18 USC 1365

The student's interim alternative educational setting shall be determined by his/her IEP team. (20 USC 1415(k)(1)(G), 34 CFR 300.531) On the date the decision to take disciplinary action is made, the student's parents/guardians shall be notified of the decision and provided the procedural safeguards notice pursuant to 34 CFR 300.504. (20 USC 1415(k)(1)(H); 34 CFR 300.530) A student who has been removed from his/her current placement because of dangerous behavior shall receive services, although in another setting, to the extent necessary to allow him/her to participate in the general education curriculum and to progress toward meeting the goals set out in his/her IEP. As appropriate, the student shall also receive a functional behavioral assessment and behavioral intervention services and modifications that are designed to address the behavior violation so that it does not recur. (20 USC 1415(k)(1)(D); 34 CFR 300.530)

Manifestation Determination Review

The following procedural safeguards shall apply when a student with a disability is suspended for more than 10 consecutive school days, when a series of removals of a student constitutes a pattern, or when a change of placement of a student is contemplated due to a violation of the district's code of conduct:

1. On the date the decision to take disciplinary action is made, the student's parents/guardians shall be notified of the decision and provided the procedural safeguards notice pursuant to 34 CFR 300.504. (20 USC 1415(k)(1)(H); 34 CFR 300.530)
2. Manifestation Determination Review: Immediately if possible, but in no case later than 10 school days after the date the decision to take disciplinary action is made, a manifestation determination review shall

University Prep Charter Middle School
R-09c – Special Education Policy

be made of the relationship between the student's disability and the behavior subject to the disciplinary action. (20 USC 1415(k)(1)(E); 34 CFR 300.530) At the manifestation determination review, the district, the student's parent/guardian, and relevant members of the IEP team (as determined by the district and parent/guardian) shall review all relevant information in the student's file, including the student's IEP, any teacher observations, and any relevant information provided by the parents/guardians, to determine whether the conduct in question was either of the following: (20 USC 1415(k)(1)(E); 34 CFR 300.530)

1. Caused by or had a direct and substantial relationship to the student's disability
2. A direct result of the district's failure to implement the student's IEP, in which case the district shall take immediate steps to remedy those deficiencies. If the manifestation review team determines that either of the above a conditions applies, the student's conduct shall then be determined to be a manifestation of his/her disability. (20 USC 1415(k)(1)(E); 34 CFR 300.530)
3. Determination that Behavior is a Manifestation of the Student's Disability: When the student's conduct has been determined to be a manifestation of his/her disability, the IEP team shall conduct a functional behavioral assessment, unless one had been conducted before the occurrence of the behavior that resulted in the change of placement, and shall implement a behavioral intervention plan for the student. If a behavior intervention plan has already been developed, the IEP team shall review the behavioral intervention plan and modify it as necessary to address the behavior. (20 USC 1415(k)(1)(F); 34 CFR 300.530) The student shall be returned to the placement from which he/she was removed, unless the parent/guardian and Principal or designee agree to a change of placement as part of the modification of the behavioral intervention plan. (20 USC 1415(k)(1)(F); 34 CFR 300.530)
4. Determination that Behavior is Not a Manifestation of the Student's Disability: When it has been determined that the student's conduct was not a manifestation of his/her disability, the student may be disciplined in accordance with the procedures for students without disabilities. However, the student's IEP team shall determine services necessary to enable him/her to participate in the general education curriculum in another setting and to allow him/her to progress toward meeting the goals set out in his/her IEP. (20 USC 1415(k)(1)(D); 34 CFR 300.530) As appropriate, the student shall also receive a functional behavioral assessment and behavioral intervention services and modifications that are designed to address the behavior violation so that it does not recur. (20 USC 1415(k)(1)(D); 34 CFR 300.530)

Due Process Appeals

If the parent/guardian disagrees with any school decision regarding placement under 34 CFR 300.530 (suspension and removal for dangerous circumstances) or 34 CFR 300.531 (interim alternative placement), or the manifestation determination under 34 CFR 300.530(e), he/she may appeal the decision by requesting a hearing. The school may request a hearing if the school believes that maintaining the student's current placement is substantially likely to result in injury to the student or others. In order to request a due process hearing, the requesting party shall file a complaint pursuant to 34 CFR 300.507 and 300.508(a) and (b). (20 USC 1415(k)(3); 34 CFR 300.532) Whenever a hearing is requested as specified above, the parent/guardian or the school shall have an opportunity for an expedited due process hearing consistent with requirements specified in 34 CFR 300.507, 300.508 (a)-(c), and 300.510-300.514.

University Prep Charter Middle School
R-09c – Special Education Policy

If the student's parent/guardian or the school has initiated a due process hearing under 34 CFR 300.532 as detailed above, the student shall remain in the interim alternative educational setting pending the decision of the hearing officer or until the expiration of the 45-day time period, whichever occurs first, unless the parent/guardian and district agree otherwise. (20 USC 1415(k)(4); 34 CFR 300.533)

Readmission

Readmission procedures for students with disabilities shall be the same as those adopted used for all students without disabilities. Upon readmission of a student with disabilities, an IEP team meeting shall be convened to review and, as necessary, modify the student's IEP.

Decision Not to Enforce Expulsion Order

The board of trustees criteria for suspending the enforcement of an expulsion order shall be applied to students with disabilities in the same manner as they are applied to all other students. (Education Code 48917)

Notification to Law Enforcement Authorities

Law enforcement notification requirements involving students with disabilities shall be the same as those specified for all students in AR 5144.1 - Suspension and Expulsion/Due Process. When giving any required notification concerning a student with disabilities to any law enforcement official, The SUPERINTENDENT, principal or designee shall require the law enforcement official to certify in writing that he/she will not disclose the student's information or records to any other person without the prior written consent of the student's parent/guardian. (Education Code 49076) (cf. 5131.7 - Weapons and Dangerous Instruments)

Report to District Superintendent of Schools

The education corporation Superintendent, principal or designee shall report to the District Superintendent when any special education student has been expelled or suspended for more than 10 school days. The report shall include the student's name, last known address, and the reason for the action. (Education Code 48203)

Procedures for Students Not Yet Eligible for Special Education Services

A student who has not been determined to be eligible for special education and related services and who has violated the district's code of student conduct may nevertheless assert any of the protections under IDEA, if the school and school district had knowledge of the student's disability. (20 USC 1415(k)(5); 34 CFR 300.534) Knowledge means that, before the occurrence of the behavior that precipitated the disciplinary action, one of the following occurred: (20 USC 1415(k)(5); 34 CFR 300.534)

1. The parent/guardian, in writing, has expressed concern to district supervisory or school personnel, or to a teacher of the student, that the student is in need of special education or related services.
2. The parent/guardian has requested an evaluation of the student for special education pursuant to 20 USC 1414(a)(1)(B) or 34 CFR 300.300-300.311.
3. (cf. 6164.4 - Identification and Evaluation of Individuals for Special Education)

University Prep Charter Middle School
R-09c – Special Education Policy

4. The teacher of the student or other school personnel has expressed specific concerns directly to the district's director of special education or other supervisory school personnel about a pattern of behavior demonstrated by the student. However, the district shall not be deemed to have knowledge of a student's disability if the student's parent/guardian has not allowed him/her to be evaluated for special education services or has refused services or, after evaluating the student pursuant to 34 CFR 300.300-300.311, the district determined that he/she was not an individual with a disability.

When the district is deemed to not have knowledge of a student's disability, the student shall be disciplined in accordance with procedures established for students without disabilities who engage in comparable behavior. (20 USC 1415(k)(5); 34 CFR 300.534) If a request is made for an evaluation of a student during the time period in which the student is subject to disciplinary measures pursuant to 34 CFR 300.530, the evaluation shall be conducted in an expedited manner. Until the evaluation is completed, the student shall remain in the educational placement determined by school authorities. (20USC 1415(k)(5); 34 CFR 300.534)

University Prep Charter Middle School
R-09d – Dress Code

The dress code of University Prep Middle School will follow the code established at University Prep Charter High School. Please refer to item R-09d1 – Dress Code for our one-pager representing the policy and requirements for all students. During our planning period, the website will be developed for UPCMS, and the attached file will be updated to reflect the shared code of the middle and high school.

In addition to the guidance and stipulations outlined in the attached file, it shall be the policy of University Prep Charter Middle School that students shall not receive detention, nor lose academic seat time for violations of the uniform policy. In the event of a violation of the uniform policy, the student will be sent to the Dean's office for a brief period. The parent/guardian will be contacted by phone to inform them of the school's policy.

It shall be the policy of University Prep Charter Middle School that no student shall be barred from wearing head covers in connection with the exercise of their religious practice. Students and families are requested to notify staff of religious preferences and practices relating to the dress code at the earliest possible time. Staff will retain a list of students with exemptions from any provisions of the dress code.

It shall be the policy of University Prep Charter Middle School to provide additional support for high-need low income families requesting support toward the purchase of school uniforms. Funding for supporting families will be provided through reserve funds loaned on a short-term basis by University Prep Charter High School. Repayment terms will be determined based on the extent of support requirements and offsets through philanthropic contributions. This application assumes no philanthropic contributions to the middle school throughout the course of the charter term.



STUDENT DRESS CODE

CÓDIGO DE VESTIMENIA

University Prep Charter Middle School

upcms.org

Uniform <i>Uniforme</i>	Acceptable <i>Aceptable</i>	Unacceptable <i>Inaceptable</i>	Examples <i>Ejemplos</i>
Shirts <i>Camisas</i>	Navy Blue Collared shirts <i>Camisa Azul marino con cuello</i> <ul style="list-style-type: none"> Long sleeved <i>De manga larga</i> Short sleeved <i>De manga corta</i> Polo <i>Polo</i> Button down <i>Con botones</i> <div style="border: 1px solid gray; padding: 5px; width: fit-content;"> <p>*All shirts must have a collar <i>Todas las camisas deben tener cuello</i></p> </div>	<ul style="list-style-type: none"> Any navy blue shirt without a collar <i>Cualquier camisa azul marino sin cuello</i> Large logos/emblems <i>Logos grandes/emblemas</i> T-shirts <i>Camisetas</i> Scoop-neck <i>Cuello redondo</i> V-neck <i>Cuello-V</i> 	
Pants <i>Pantalones</i>	Khaki Pants <i>Pantalones Caquis</i> <ul style="list-style-type: none"> Worn at waist level <i>Puesto al nivel de la cintura</i> Worn with a belt (for our young men) <i>Usar un cinturón/correa (para nuestros jóvenes)</i> 	Any pants other than khakis (jeans, leggings, etc.) <i>Cualquier pantalón que no sea caqui (mahonés, leggings, etc.)</i>	
Shoes <i>Zapatos</i>	Solid Black or Dark Brown <i>Negroso o Marones Solidos</i> <ul style="list-style-type: none"> Shoes <i>Zapatos</i> Sneakers <i>Tennis</i> Boots (below the knee) <i>BOTAS (por debajo de la rodilla)*</i> <div style="border: 1px solid gray; padding: 5px; width: fit-content;"> <p>*May be tucked under worn over <i>Pueden ser usada sobre o debajo pantalones caqui</i></p> </div>	<ul style="list-style-type: none"> Sneakers that are not solid black or brown Boots that go over the knee <i>Botas que van sobre la rodilla</i> 	
Sweater/ Sweatshirt <i>Suéter/Sudadera</i>	Solid Navy Blue <i>Azul Marino Solido</i> <ul style="list-style-type: none"> Zipper Hoody <i>Sudaderas con zipper</i> Pull-over Sweatshirt <i>Suéter cerrado</i> Cardigan <i>Cárdigan</i> 	<ul style="list-style-type: none"> Any sweater/sweatshirt that is not solid navy blue <i>Cualquier suéter/ sudadera que no sea de color azul marino</i> Patterns/logos <i>Patrones/logos</i> 	

University Prep Charter Middle School
R-10ab – School Management and Leadership

Overview of Leadership Capacity

The organization has substantial leadership capacity to support the ongoing success of University Prep Charter High School, and to drive high student achievement at University Prep Charter Middle School. Our model is mission-driven and centered on mutual respect and collaboration across all stakeholder groups. Within our current structure, overall policy leadership comes from our board of trustees. The charge of developing effective methods of implementing the mission; monitoring the academic and operational program; gathering and analyzing performance improvement data; sustaining morale, culture, and trust; messaging to stakeholders about the importance of their respective contributions; and sustaining our gains lies with our principal and her leadership team.

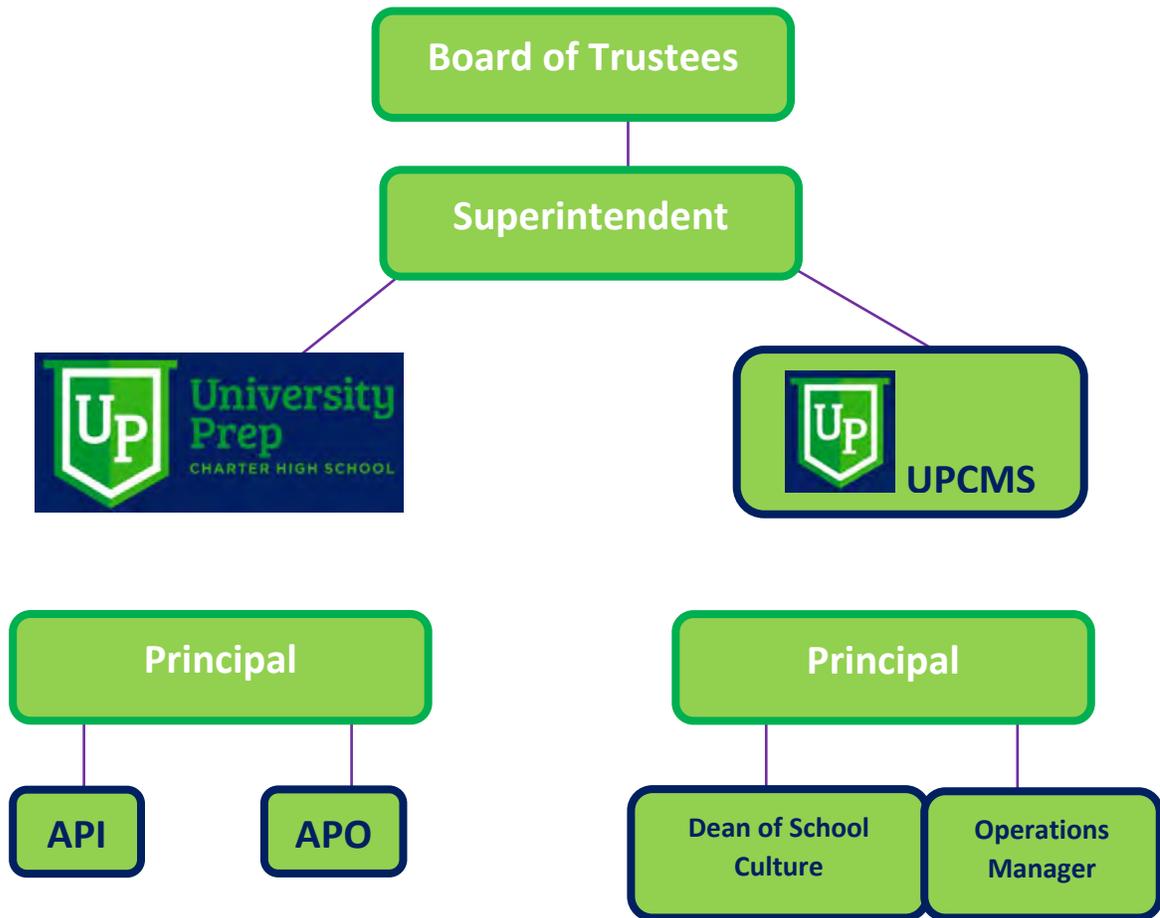
Principal Andrea d'Amato (at UPCHS since 2015) works closely with three assistant principals (two for instruction, one for operations). Ms. d'Amato reports directly to the board of trustees and oversees the instructional and operational aspects of the program. The leadership team meets regularly throughout each day to plan, strategize and troubleshoot. Assistant Principal Andrew Ayers assumes leading responsibilities for professional development, curriculum development, and oversight. Assistant Principal Miguel Suarez takes the lead on student culture, discipline and testing. Assistant Principal Deborah Raji serves as the Operations Lead schoolwide. Ms. Raji routinely liaises with Principal d'Amato, the board finance committee, consultants and vendors, the Authorizer and various constituencies on matters ranging in complexity from charter compliance to financial reporting to re-supply logistics.

Our team is a mix of University Prep veterans and well-rounded more recent arrivals who meld into a cohesive and complementary team. All team members have clear responsibilities, supervisory responsibilities and expectations. The strength of our model is the distribution of leadership strength across the organization. Going forward, this team will remain largely in place. UPCHS will remain organizationally stable. UPCMS will receive additional support from each of these team members in varying ways. Principal d'Amato will remain as principal in 2018-19, then transition to organizational superintendent beginning in August 2019. In so doing, Ms. d'Amato will work closely with current consultant and prospective Principal-in-Residence, David Patterson. Beginning this fall, Mr. Patterson will begin the work of embedding with the leadership team at UPCHS to more deeply understand our theory of action; core values; and drivers of success.

As principal-in-residence, David will participate in and occasionally lead meetings with all stakeholder groups, including students, parents and families, and trustees. The principal work during the year will be the installation of the empirical practices such as Summer Bridge for middle school students; finalizing hiring determinations on time and in alignment with the mission; collaborating with the Superintendent and UPCHS AP for Operations to build the UPCMS operations team; managing facility and move-in details, customizing professional development, and continuing outreach efforts to stakeholders.

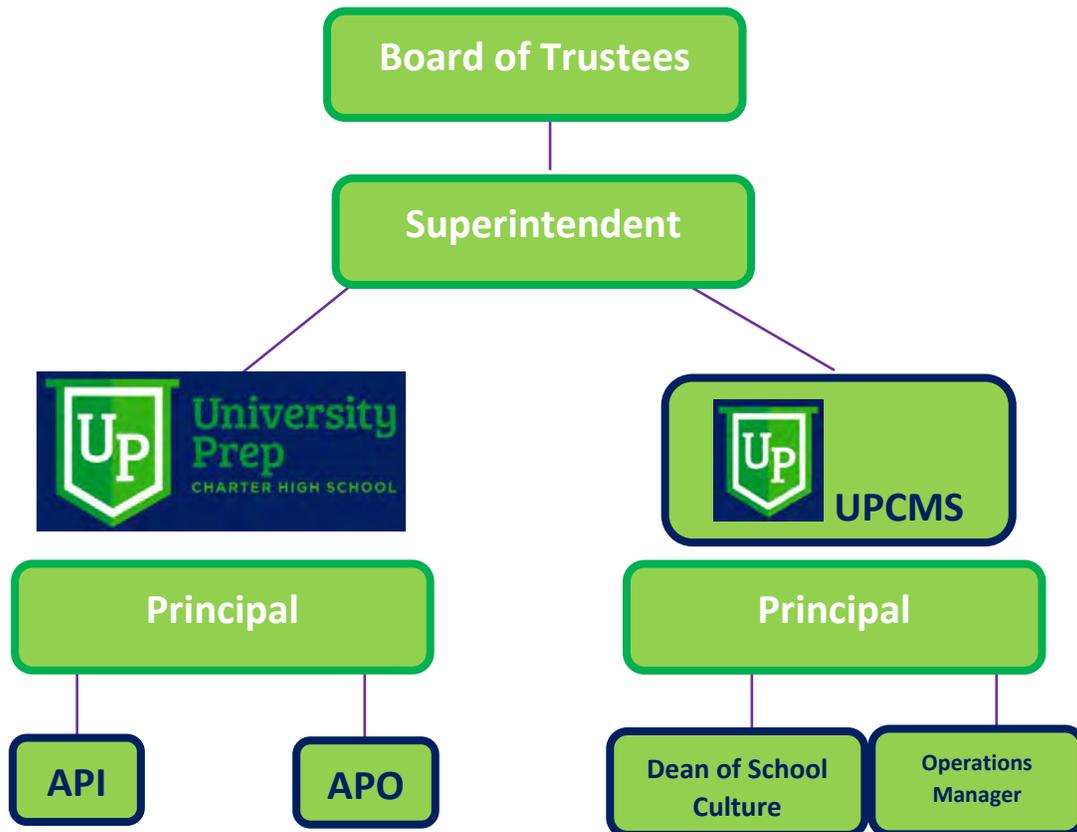
Our proposed organizational structure in 2019-2020 (Year 1) assumes some streamlining of administrative positions between administrative, instructional and operations roles. The education corporation and each school will have an administrative leader who is also an instructional leader. Both schools will also have either an Assistant Principal or Dean of Culture with responsibilities that are both academic and operational. Finally, both schools will have an Assistant Principal for Operations or an Operations Manager.

**University Prep Public Schools, Inc.
Education Corporation Organization Chart
Year 1**



As the education corporation and the middle school evolve, we envision maintaining the capacity of both schools to function effectively and efficiently. To ensure that the broader organizational needs are met as we expand capacity and address issues of concern that will range from hiring to facility leasing or acquisition or fundraising, we want to be certain to place the burden of instructional leadership and operations leadership with the lieutenants of our Superintendent. In this way, the board of trustees and Superintendent may continue to work symbiotically around addressing issues proactively.

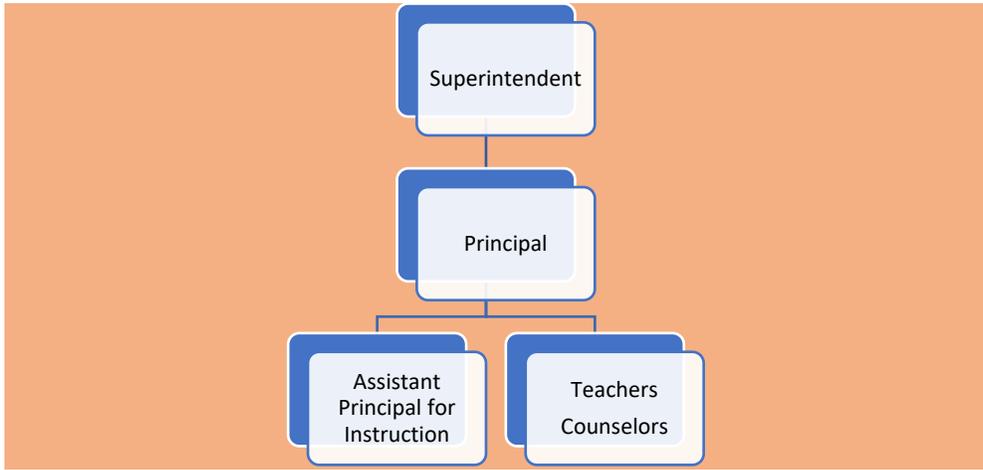
University Prep Public Schools, Inc.
Education Corporation Organization Chart
YEAR 5



We may consider adding a second Assistant Principal for Instruction at the high school in Year 5. We will revisit the question over the course of the charter to ensure that our systems of staffing and support are sufficient to meet our charge. The Superintendent will continue to provide overall organizational leadership, however, each building principal will lead their respective teams instructionally. Principals and Assistant Principals will work closely on maintaining school culture, developing and refining professional development for staff, maintaining a data-driven institution, evaluating teacher performance, leading or informing annual programmatic audits, and setting expectations.

Principals will report directly to the Superintendent and may on occasion make reports at meetings of the board of trustees. The principal will supervise the assistant principal, classroom teachers, and specialists. Principals will make hiring decisions in collaboration with the Superintendent, and consistent with the Collective Bargaining Agreement

Instructional Teams



Operations Teams



University Prep Charter Middle School
R-10ab – School Management and Leadership

The roles and responsibilities of the operations teams will be consistent over the course of the charter term. We will continue to seek the best qualified candidates for all positions. In the event that the middle school is located in private space, we may seek persons with facility expertise. The core functions will remain around operations and finance. We will also continue to work closely with an external consultant for back office finance support on human resources, payroll, audit preparation, and budgeting. Our operations leads will manage logistical areas such as purchasing and receiving; facilities support; events management and support; supplies distribution; etc. The office lead will serve as our office managers with responsibility for being the first face of our organization. The office lead and assistants will also be responsible for reception, secretarial support for the principal, attendance, and record keeping. In the middle school, a family liaison position may be added to support our commitment to engage parents and families.

We have adopted this organizational leadership model for several reasons. First, we believe that dedicated instructional leadership is a strong driver of our success. University Prep Charter High School has made tremendous improvement under a structure that provides for a principal and two assistant principals with an exclusive focus on instruction in all its stages from curriculum development to professional development to testing. We also believe that organizations function efficiently when the operations and finance functions are structured by persons with deep knowledge and rich systems. We have an operations/office lead system that splits essential functions between organization-wide operations practice (logistics, purchasing, inventory management) from school-based office functions (reception, parent and family engagement, attendance). We also have worked for several years with an external consultant, CSBM, with strong systems and resources to facilitate financial management.

Leadership Structures and Practices

The organization will grow and develop organically along two lines. First, the unique culture of UPCHS will continue due in large part to the planned staffing continuity there. Second, the culture of UPCMS will emerge from the principal-in-residence experience; the mix of support and autonomy provided by the Superintendent and the administrative leadership team at UPCHS; and the character of UPCMS stakeholders. The superintendent will be charged with driving and directing the course for both UPCHS and UPCMS. The structures to do so will be a common summer professional development session for all UPPS staff; weekly UPPS meetings on the instructional program and operational/financial condition of the school; daily communications with principals and assistant principals; and ongoing oversight of the instructional practices at the division, grade, and classroom level. The Superintendent will report directly to the board of trustees each month, and, support the work of board committees as requested.

Principals will serve as the instructional leaders of their respective schools. They will conduct regular observations of instructional practice; monitor academic progress; use data to inform decision-making; design professional development; model high-quality instruction; leverage resources from internal and external providers; engage in academic meetings at the department and grade level; provide clear, consistent and actionable feedback to teachers and staff; supervise, monitor and report on the operational and financial condition of the school; ensure compliance with all relevant laws and regulations; and provide direct supervision to Assistant Principals and/or Deans within their organization. Principals will evaluate the overall program and staff performance, and report on those results to the Superintendent. Principal performance will be evaluated by the Superintendent.

University Prep Charter Middle School
R-11ac – Personnel

University Prep Charter Middle School

UNIVERSITY PREP PUBLIC SCHOOLS, INC.

		Year 1	Year 2	Year 3	Year 4	Year 5
		STAFFING PLAN FTE	Years	2019-20	2020-21	2021-22
	Grades	5-6, 9-12	5-7, 9-12	5-12	5-12	5-12
	Enrollment	614	738	892	892	926

****NOTE:** Enter the number of planned full-time equivalent ("FTE") positions in each category for each charter year in the section provided below.*

ADMINISTRATIVE PERSONNEL FTE	FTE				
Executive Management	1.0	1.0	1.0	1.0	1.0
Instructional Management	4.0	4.0	4.0	5.0	5.0
Deans, Directors & Coordinators	1.0	1.0	1.0	2.0	2.0
CFO / Director of Finance	0.0	0.0	0.0	0.0	0.0
Operations / Business Manager	3.0	3.0	3.0	3.0	3.0
Administrative Staff	5.0	5.0	6.0	6.0	6.0
TOTAL ADMINISTRATIVE STAFF	14.0	14.0	15.0	17.0	17.0

INSTRUCTIONAL PERSONNEL FTE					
Teachers - Regular	28.0	35.0	40.0	47.0	52.0
Teachers - SPED	7.0	8.0	9.0	9.0	10.0
Substitute Teachers	0.0	0.0	0.0	0.0	0.0

University Prep Charter Middle School
R-11ac – Personnel

Teaching Assistants	0.0	0.0	0.0	0.0	0.0
Specialty Teachers	11.0	11.0	12.0	12.0	13.0
Aides	0.0	0.0	0.0	0.0	0.0
Therapists & Counselors	6.0	7.0	7.0	7.0	7.0
Other	0.0	0.0	0.0	0.0	0.0
TOTAL INSTRUCTIONAL	52.0	61.0	68.0	75.0	82.0

NON-INSTRUCTIONAL PERSONNEL FTE

Nurse	0.0	0.0	0.0	0.0	0.0
Librarian	0.0	0.0	0.0	0.0	0.0
Custodian	1.0	1.0	1.0	1.0	1.0
Security	1.0	1.0	1.0	1.0	1.0
Other	2.0	2.0	2.0	2.0	2.0
TOTAL NON-INSTRUCTIONAL	4.0	4.0	4.0	4.0	4.0

TOTAL PERSONNEL SERVICE FTE	70.0	79.0	87.0	96.0	103.0
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STAFFING PLAN WAGES		Year 1	Year 2	Year 3	Year 4	Year 5
	Acad Years	2019-20	2020-21	2021-22	2022-23	2023-24
	Grades	5-6, 9-12	5-7, 9-12	5-12	5-12	5-12
	Enrollment	614.00	738.00	892.00	892.00	926.00

***NOTE:** Enter the proposed average salary for each category and the anticipated yearly increase percentages in the section provided below.

ADMINISTRATIVE PERSONNEL WAGES	WAGES					
	Salary/ Incr %	2.00%	2.00%	2.00%	2.00%	2.00%
Executive Management	\$ 200,000	\$ 200,000	\$ 204,000	\$ 208,080	\$ 212,242	\$ 216,486
Instructional Management	\$ 135,000	\$ 540,000	\$ 550,800	\$ 561,816	\$ 708,052	\$ 722,213

University Prep Charter Middle School
R-11ac – Personnel

Deans, Directors & Coordinators	\$ 115,000	\$ 115,000	\$ 117,300	\$ 119,646	\$ 237,039	\$ 241,780
CFO / Director of Finance	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Operation / Business Manager	\$ 85,000	\$ 255,000	\$ 260,100	\$ 265,302	\$ 270,608	\$ 276,020
Administrative Staff	\$ 55,000	\$ 275,000	\$ 280,500	\$ 341,110	\$ 347,932	\$ 354,891
TOTAL ADMINISTRATIVE STAFF		\$ 1,385,000	\$ 1,412,700	\$ 1,495,954	\$ 1,775,873	\$ 1,811,391

**INSTRUCTIONAL PERSONNEL
WAGES**

Teachers - Regular	\$ 102,000	\$ 2,856,000	\$ 3,627,120	\$ 4,209,662	\$ 5,007,856	\$ 5,618,013
Teachers - SPED	\$ 107,826	\$ 754,782	\$ 877,704	\$ 1,003,084	\$ 1,023,145	\$ 1,151,434
Substitute Teachers	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Teaching Assistants	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Specialty Teachers	\$ 110,461	\$ 1,215,071	\$ 1,239,372	\$ 1,374,621	\$ 1,402,113	\$ 1,540,617
Aides	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Therapists & Counselors	\$ 105,500	\$ 633,000	\$ 751,160	\$ 766,183	\$ 781,507	\$ 797,137
Other	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL INSTRUCTIONAL		\$ 5,458,853	\$ 6,495,356	\$ 7,353,550	\$ 8,214,621	\$ 9,107,201

**NON-INSTRUCTIONAL PERSONNEL
WAGES**

Nurse	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Librarian	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Custodian	\$ 43,500	\$ 43,500	\$ 44,370	\$ 45,257	\$ 46,163	\$ 47,086
Security	\$ 39,500	\$ 39,500	\$ 40,290	\$ 41,096	\$ 41,918	\$ 42,756
Other	\$ 35,000	\$ 70,000	\$ 71,400	\$ 72,828	\$ 74,285	\$ 75,770

University Prep Charter Middle School
R-11ac – Personnel

TOTAL NON- INSTRUCTIONAL		\$ 153,000	\$ 156,060	\$ 159,181	\$ 162,365	\$ 165,612
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TOTAL PERSONNEL SERVICE WAGES		\$ 6,996,853	\$ 8,064,116	\$ 9,008,685	\$ 10,152,859	\$ 11,084,203
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R-11d – Personnel Policies

This response is incorporated by reference.

University Prep Charter High School Staff Handbook



Andrea d'Amato | Principal
Miguel Suarez & Deborah Raji | Assistant Principals

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I. The School Mission:

The Mission of University Prep Charter High School is to prepare students for success in college, leadership and life. We achieve this mission by creating a student-centered environment that unifies the efforts of family, community and school to foster life-long learning, cross-cultural relationships, social responsibility, and academic excellence. The underlying belief at University Prep Charter High School is that all students can go to college and that their preparation is our professional responsibility and moral obligation.

II. Core Values: The Core Four

Students at University Prep work towards a set of four core values that keep them on course to be successful at the college of their choice and beyond:

- **Core 1: Accepting Personal Responsibility:** students see themselves as the primary cause of their outcomes and experiences
- **Core 2: Discovering Self-Motivation:** students find purpose in their lives by discovering personally meaningful goals and dreams
- **Core 3: Mastering Self-Management:** students plan for and take purposeful actions in pursuit of their goals and dreams
- **Core 4: Creating Positive Interdependence:** students build mutually supportive relationships that help them achieve their goals and dreams—while helping others do the same

III. Academic Guidelines

- The school year is divided into **four marking periods**.
- **Progress reports** will be distributed in the middle of each marking period and reviewed with students during advisory, and they will also be distributed during parent-teacher conference nights; teachers will be informed of when progress reports should be completed.
- **Passing grades include scores of 70%-100%.**
- **The lowest grade a student can receive is 60%**, indicating academic failure.
- **Failures due to truancy can be indicated with a score of 55%.**
- **Advisory** is a Pass/Fail course.
- For Regents bearing classes: students who fail the course for the year, but pass the Regents exam achieving the college readiness benchmarks (80% in mathematics, 75% in all other courses), their final grade in the course will be changed to 70%.
- Teachers' weekly office hours should provide ample opportunities for students to **improve their course grade** through make-up work, test-corrections, or alternate assignments, at the discretion of the teacher.

- When students are failing a course, **teachers should reach out to families**—and document this contact.
- **Advisors must call the families of students** who are failing two or more classes throughout the year. All calls should be logged on the Parent Outreach Monthly Call Log. Progress reports will be distributed during parent-teacher conferences.
- **Report cards will be mailed home to families** at the end of the marking periods; students will also receive report cards in advisory.
- **Advisors are responsible for calling home** to ensure that families have received the student's report card.

IV. Teacher and Staff Policies

Nature of Employment

- All Non-administrative employees of University Prep Charter High School are subject to the conditions set forth by the **Collective Bargaining Agreement and this Staff Handbook**.
- If your position requires additional pre-employment criteria, such as a driver's examination, a background investigation and/or a pre-employment drug test and if you have been offered employment before any such investigation or test is completed, your employment is contingent upon a satisfactory result on all required tests.

Business Ethics and Conduct

- All UPCHS employees will receive and be responsible for compliance with the **UPCHS Code of Ethics**, which is included in the Appendix.

Time and Attendance

- In order to help facilitate student arrival, **teachers are expected to arrive to school no later than 8:25am, and stay until 4pm.**
- **Absent and/or late** teachers must notify Principal d'Amato and Assistant Principal Raji via email as soon as you know you cannot attend school.
- Teachers can use up to **3 sick days for personal business**. Give at least two weeks' notice for **planned personal days**.
- Returning Employees will **accrue sick days at a rate of one (1) day per work month**. The School will provide new Teachers, Guidance Counselors, Social Workers, School Assistant, School Secretaries/Operations Associates, and Teaching Assistants, in their first year only, with ten (10) available sick days at the commencement of their service.

- The School will provide Office Managers, Office Leads, Operations Leads, and Operations Assistants in their first year only, with twelve (12) available sick days at the commencement of their service.
- All new Employees will not accrue additional sick days until their second year of employment.
- Unused sick days for all Employees, up to a limit of two hundred (200) days, will be banked for future use.
- For an Employee's absences of one-half (1/2) a work day or less, the School will deduct from the Employee's accumulated days in hourly increments for every fraction of an hour the employee is absent from work.
- Absences of more than one-half (1/2) a work day shall be deducted as a full day of sick leave.
- Unit members with perfect attendance during a school year will be awarded a bonus of two (2) days pro-rata pay.
- For information regarding professional work day, please see the UPCHS collective bargaining agreement.

Substitute Teacher Kit

- All teachers must create **2 substitute teacher kits for each course taught** and keep it on file in the main office. Each kit should include a lesson plan, and all material required for the lesson, and 30 copies of the student materials.
- The used substitute teacher kit should be **replaced after each absence**.
- In the event of an absence, each advisor should have an **advisory distribution list** and post their list on the door of their advisory classroom.

Classroom Environment

- Teachers are required to create **four hallway bulletin boards each year**, according to a reasonable timeline set by the principal; each bulletin board should reflect work recently completed in the course.
- Teachers should **keep their rooms neat and orderly**, and the walls should display student work that is updated through the school year.
- **Classroom doors should remain unlocked** when occupied, and should be locked when unoccupied.

Lesson Plans and other Curricular Materials

- **All teachers must complete a scope & sequence**, outlining the course's units of study, pacing plan, and standards covered by October 1st. This should be uploaded to the appropriate folder in SharePoint.
- **Teachers are expected to plan for every lesson**. Unit overviews and lesson plans should be kept updated and uploaded to SharePoint.
- **Curriculum will reviewed by administration** incrementally throughout the school year with notice.

Student and Staff Safety

- In the event of **illness or accident**, school staff will render emergency care, and parents will be notified of the illness or injury as soon as possible.
- An **accident form** must be completed each time a student or staff member is injured; these forms are available in the nurse's office.
- Students who are ill must be **signed out in the office by their parent or guardian** before leaving campus.

Communication

- Federal Educational Right to Privacy Act (FERPA) requirements must be honored when discussing students' and family information.
- Teachers should **check e-mail at least twice daily**, including each morning upon arrival to school and each afternoon before leaving for the day.

Corporal Punishment

- Corporal punishment consists of any act of **physical force upon a student for the purpose of punishing that student**.
- Corporal punishment is **forbidden** in public schools in New York State, although the use of physical force is permitted where alternatives cannot be reasonably employed. (*CR 11:123*)

Dress Code

- Teachers should dress **in a professional manner**. Teachers should avoid wearing ripped or revealing clothing, shorts, flip-flops, hats, sweatpants or workout clothing, unless the teacher is engaged in physical activity during the day.

Materials and Textbook Sign-Out Policy

- All teachers should maintain a **record of the textbooks and materials** they distribute each year. A copy of these records should be submitted to the Assistant Principal of Operations.
- Mathematics Teachers will receive **one set of 30 graphing calculators** to use in class with students. **Students are not to take the calculators home for any reason.** Math teachers should **ensure that all calculators are returned after each course and that they are stored in a locked cabinet. Any missing calculators should be reported to administration immediately.**
- Teachers should **collect textbooks and materials** at the end of the year, checking in materials based on the original record.

Technology Policy

- **Teachers should reserve laptop and tablet carts using the outlook calendar system.**
- Reservations are on a first come, first served basis.
- Teachers are responsible for ensuring that technology carts are **well maintained, devices are in the appropriate shelf,** and that carts are kept charged.
- Carts should be **returned to their home base** after use.
- **Any technology issues with the carts or devices should be reported to the Operations Lead as soon as possible.**

Passing Time between Periods

- During passing between periods, all teachers should **step out of their classrooms and into the hallway** to monitor students' movement.
- Teachers should **actively welcome students into their classrooms,** directing them to the "Do Now" or other opening activity and encouraging students to transition quickly.

PowerSchool

- Teachers should **update their course grades in PowerSchool on a weekly basis.**
- When progress reports are printed, **students' grades should be current** and should reflect all of the work the student has submitted to date if it has been submitted by a reasonably sufficient date.
- Teachers should enter student **attendance** into PowerSchool on a daily basis.

Proctoring Procedures

- All teachers are **expected to proctor and/or grade Regents exams**. Teachers may not proctor exams given in their subject area or grade exams belonging to students in their class.
- While proctoring, teachers should **regularly walk around the classroom** monitoring student progress
- If a teacher who is proctoring believes that **cheating** is occurring or has occurred, he or she should notify the testing coordinator immediately.

Professional Development and Staff Norms

- Teachers and guidance counselors should attend **all professional development meetings and staff meetings**, and they should arrive on time.
- Participants should **honor the expectations** set by the participants at meetings, and should be aware that meetings are structured using protocols or other routines to ensure fairness.

Committees

- **All staff members** are required to participate in at least one standing or ad hoc committee. Brief descriptions of the committees can be found in the Appendix.
- All committees should meet during **Wednesday morning committee time**, unless administration specifies a change in the schedule.
- All committee meetings should have **recorded meeting minutes**. Minutes should be uploaded to SharePoint by the close of the day.
- **Leadership committee is comprised of one member from each of all operating committees.** This meeting will occur one time per month, unless administration specifies a change in schedule. During Leadership committee, all committee representatives should come prepared with updates and proposals.

Social Media Expectations

- UPCHS provides employees with access to the Internet, however employees are prohibited from reading, writing or otherwise contributing to blogs, chat rooms, online message boards, or online discussion groups during work hours or from using any School-provided equipment or systems unless such activity is directly related to and necessary for an employee to perform his or her job.
- UPCHS recognizes that blogging or participating in online forums is a personal activity, and therefore only seeks to regulate such activity when it impacts the School and/or employees of the School. When you are away from the office, on your own time and equipment, you may choose to read or contribute to blogs, maintain a personal blog, or participate in an

online chat room, message board, or discussion group. If you do so, UPCHS simply asks that you understand and respect certain guidelines for responsible blogging or other online participation.

- Staff should not identify UPCHS, management, co-workers or students, or discuss the School or individuals in a manner that could disparage the School or its students, defame any individual associated with the School or any student, or damage the reputation of anyone associated with the School or any student. If your blog post concerns your job, you should prominently post a disclaimer stating that you are expressing only personal opinions that are not endorsed by and do not represent the opinion or viewpoints of the School. Pictures or descriptions of conduct that would subject a teacher to school discipline could be detrimental to that teacher's status as an educator and could impact negatively on the academic process. It is important to remember that communications to the public that undermine confidence in individual School employees may make it more difficult to manage and motivate students.
- If an employee posts something favorable about the services of UPCHS using any type of social media (i.e., a blog or an online message board), the employee must disclose that he or she is employed by UPCHS.
- Any employee engaging in social networking or blogging for legitimate business purposes (i.e., on a school-sponsored blog or media site) must get express approval of all content prior to posting. Employees engaged in such school-authorized social networking or blogging are responsible for complying with all School policies.
- Staff may not disseminate any UPCHS information that could be considered proprietary, confidential, or intellectual property, and may not use the School's logo, graphics, trademarks, trade names, or corporate slogans. It is critical to maintain the confidentiality of nonpublic School information.
- Please remember that UPCHS may monitor blogs or School-related chat rooms. If you fail to abide by the above guidelines or the School's policies, you may be subject to legal or disciplinary action by the School and others. If you have any questions or concerns about this Policy, please contact the Principal or Assistant Principal of Operations.

Political Activities

- Employment shall not be offered as a consideration or reward for the political support of any political party or candidate for public office. Furthermore, no employee may engage in any political activity at any time as a representative of UPCHS. This will be kept in the file of each employee. No employee may use work time, property or materials of UPCHS to try to affect proposed legislation. UPCHS may respond to requests for information from local, state and federal officials. All such responses shall be issued from the Principal's office. Should an employee be invited to testify at a hearing or other activity, permission shall be obtained from the Principal prior to such participation and testimony.

Solicitations at School

- It is UPCHS's policy that faculty and staff may not engage in non-school business solicitation and distribution at school during their working hours. Non-school solicitation or distribution by students and school families is also prohibited in work areas at all times. In addition, the use of school resources (such as stationery, e-mail, voice-mail, bulletin boards, and meeting facilities) for non-school solicitation is prohibited. Commercial ventures that wish to solicit the faculty, staff, students, or parent body of the school may only do so if they have the express written consent of the Principal, in accordance with UPCHS Board policies which also apply. The Principal is encouraged to present any proposals for such solicitation to the Board of Trustees for recommendation.

Whistleblower Policy

- UPCHS requires its Trustees, Officers and employees to observe high standards of business and personal ethics, as such personal ethics relate to the organization, in the conduct of their duties and responsibilities. Employees and representatives of UPCHS must practice honesty and integrity in fulfilling their responsibilities and comply with all applicable laws and regulations.
- This policy is designed to protect from retaliation employees who report suspected improper conduct. No trustee, officer, employee or volunteer of UPCHS who in good faith reports any action or suspected action taken by or within UPCHS that is illegal, fraudulent or in violation of any adopted policy of the School shall suffer intimidation, harassment, discrimination or other retaliation or, in the case of employees, adverse employment consequence. This policy is not intended as a vehicle for reporting problems with co-workers or managers, or for reporting issues related to alleged employment discrimination or sexual or any other form of unlawful harassment, all of which may also be dealt with in accordance with the Handbook sections specifically applicable to such matters.
- The matters which should be reported under this policy, include suspected fraud, theft, embezzlement, accounting or auditing irregularities, bribery, kickbacks, misuse of the school's assets, or suspected regulatory, compliance, or ethics-related issues, concerns, or violations.
- Under the Occupational Safety and Health Act (OSHA), employees may file complaints with OSHA if they believe that they have experienced discrimination or retaliation for exercising any right afforded by OSHA, such as complaining to the OSHA, or any other government agency about workplace safety or health hazards; or for participating in OSHA inspection conferences, hearings, or other OSHA-related activities. Under the Asbestos Hazard Emergency Response Act (AHERA), employees may file complaints with OSHA if they believe they have experienced discrimination or retaliation for reporting alleged violations of environmental laws relating to asbestos in elementary and secondary school systems.
- **Reporting Responsibility.** It is the responsibility of all Trustees, Officers and employees to report in good faith violations or suspected violations of business and personal ethical

standards, as such personal ethics relate to the organization, and/or applicable legal requirements (“Violations”) in accordance with this Whistleblower Policy.

- **Reporting Violations.** Questions, concerns, suggestions, or complaints regarding the ethical and legal standards noted above should be addressed directly to the Principal, who will maintain the confidentiality of such reported information to the extent practicable. In the event the complaint concerns the Principal, such information may be reported to Trustee Burt Sacks. The Principal is designated by the Board of Trustees to administer the Whistleblower Policy and to report on whistleblower activity and investigations to the Board’s Audit/Finance Committee or other committee of independent Trustees or, if there are no such committees, to the Board.
- **Non-Retaliation.** No employee who in good faith reports a violation shall suffer harassment, retaliation or adverse employment consequences because of such report. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within the school prior to seeking resolution outside the school. Notwithstanding anything contained herein to the contrary, this Whistleblower Policy is not an employment contract and does not modify the employment relationship between UPCHS and its employees, nor does it change the fact that employees of a school are employees at will. Where provisions exist elsewhere under law and/or O.W.N.C.S. policy governing the disclosure of information and other obligations, and /or retaliation relative to such disclosure, such laws and/or UPCHS policies shall govern.
- **Investigations.** The Board of Trustees may delegate the responsibility to investigate a reported violation, whether relating to accounting and auditing matters or otherwise, to one or more employees of a school or to any other individual, including persons not employed by a school selected by the Board of Trustees. The Board of Trustees may not delegate such responsibility to an employee or other individual who is the subject of the reported Violation or in a manner that would compromise either the identity of an employee who reported the Violation anonymously or the confidentiality of the complaint or resulting investigation. Notwithstanding anything herein to the contrary, the scope, manner and parameters of any investigation of a reported Violation shall be determined by the Board of Trustees in its sole discretion and a school and its employees will cooperate as necessary in connection with any such investigation.
- **Acting in Good Faith.** Anyone filing a complaint concerning a violation must act in good faith and have reasonable grounds for believing the information disclosed may indicate a violation of such standards. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.
- **Confidentiality.** In making a complaint or submission, an employee of a school may request that such complaint be treated in a confidential manner (including that the school take reasonable steps to ensure that the identity of the employee making the complaint remains anonymous). UPCHS takes seriously its responsibility to enforce this Whistleblower Policy

and therefore encourages any employee reporting a violation to identify him or herself so as to facilitate any resulting investigation. Employees may, however, submit complaints on an anonymous basis. Reports of violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

- **Handling of Reported Violations.** A UPCHS official will notify the sender and acknowledge receipt of the reported violation or suspected violation within five (5) business days, but only to the extent the sender's identity is disclosed or a return address is provided. All reports will be promptly investigated; the scope of any such investigation being within the sole discretion of the Board of Trustees, and appropriate corrective action will be taken if warranted by the investigation.
- **Records.** The Principal will retain on a strictly confidential basis for a period of seven (7) years (or otherwise as required under the UPCHS record retention policies in effect from time to time) all records relating to any complaint and to the investigation and resolution thereof. All such records are confidential to the school and such records will be considered privileged and confidential.
- **Distribution of Whistleblower Policy.** A copy of the policy shall be distributed to all Trustees, Officers, employees and volunteers who provide substantial services to a school. The policy shall be posted on the UPCHS website and in a conspicuous location in each school accessible to employees and volunteers.

Ban on Acceptance of Gifts

- No employee of UPCHS may accept gifts of any kind of a value exceeding fifty dollars (\$50.00) – including but not limited to money, goods, food, entertainment, or services – directly or indirectly from:
 - Individuals, parents, schools, partner organizations, or companies serving as vendors or potential vendors for UPCHS;
 - Elected officials or representatives;
 - Candidates for public office or their representatives;
 - Political party officials or their representatives.
- Offers of such gifts in excess of \$50.00, even when refused, must be communicated immediately by the employee receiving such offer to the Principal.
- In certain limited circumstances, the Principal may make an exception to the dollar limitation where a gift in excess of \$50.00 is intended for and will be used by UPCHS itself.

Personal Property

- **UPCHS is not responsible for personal items brought to work or left on UPCHS' premises.**

Commented [NR1]: Confirm that this language matches the school's conflict of interest policy.

Drug and Alcohol Free Workplace/Drug Screening

- Alcohol and illegal drugs in the workplace are a danger to us all. They impair safety and health, set a bad example for our students and community, promote crime, lower productivity and quality, and undermine public confidence in the work that we do.
- UPCHS has a zero tolerance policy on drugs and alcohol in the workplace. UPCHS prohibits the manufacture, distribution, dispensing, possession, sale or use of alcohol, intoxicants and controlled substances in the workplace, or while engaged in business off premises, such as at a parent's home, is strictly prohibited. A violation of this policy may result in immediate discharge of employment.
- UPCHS retains the discretion to direct any employee to undergo drug or alcohol testing at any time and at any specific laboratory, without advance notification at UPCHS expense, if UPCHS, within its sole discretion, has a reasonable suspicion that an employee is under the influence of alcohol or drugs in violation of this policy. The failure of any employee to comply with a directive by UPCHS to engage in drug/alcohol testing will subject the employee to discipline up to and including termination of employment.
- To educate employees on the dangers of drug and alcohol abuse, employees may be periodically required to attend information and training sessions in the area of alcohol and illegal drug dangers, treatment resources and workplace policy. Employees are required to immediately report any arrest and conviction for, among other things, illegal drugs, controlled substances and/or driving while under the influence or while impaired.
- Employees who violate any aspect of this policy may be subject to disciplinary action, up to and including termination of employment. At its discretion, UPCHS may require employees who violate this policy to successfully complete a drug abuse assistance or rehabilitation program as a condition of continued employment.

V. Student Policy

All UPCHS staff members should familiarize themselves with the **Student and Parent Handbook** and uphold all of the expectations outlined within.

VI. Student Discipline

Monitoring Student Conduct

- **All staff members are responsible for managing student conduct** in classrooms, hallways, and all other areas of the UPCHS campus.
- **Teachers should keep a record of infractions** by student as well as documentation of any conferences or interventions with students. These records will be used to as evidence of the

number of interventions put into place before additional steps are taken. These notes can be kept in EdClick.

- The **Progressive Disciplinary Response Ladder** divides infractions into five levels of severity, and it should be reviewed with students at the start of each term:

Level 1 Infractions: uncooperative or noncompliant actions, lateness, dress code violation

Level 2 Infractions: disorderly and malicious behavior, repeated lateness, repeated dress code violation

Level 3 Infractions: repeatedly disruptive behavior, or displaying a pattern of negative behavior

Level 4 Infractions (*immediate in-school suspension*): aggressive and/or excessive pattern of negative behavior

Level 5 Infractions (*immediate probation or expulsion*): injurious, violent, or dangerous behavior

Detention

- Detention will be held **during lunch M-F (30 min)** and **after school M-TH (1 hr)**.
- When a student does not meet behavioral expectations, it is the responsibility of the teacher to **ensure that the student knows the rules**, understands how to comply, and has the opportunity to act appropriately.
- After the teacher has assessed that the student understands the rules and determines that the student is intentionally disregarding expectations, **these infractions will result in an after-school detention.**
- Teachers should enter a “quick-demerit” in the EdClick system.
- Students who arrive late or out of uniform will receive a **lunch detention**. Excessive lateness or uniform violations will result in more severe consequences.
- Detention may be used as a consequence for other infractions at the administration’s discretion

Student Discipline Policy

- All UPCHS staff members should familiarize themselves with the **Student Discipline Policy** and uphold all of the expectations outlined within.

VII. Facility, Security, and Maintenance Policies

- When the order is given to **evacuate** verbally or by alarm, students should be led out of the building through an assigned exit, school leaders should be notified if there are any extra,

missing, or injured students, and students should be reminded that they may not use their electronic devices.

- When a **soft lockdown** occurs, this means that the danger is outside the building. Students should be brought into the classroom from the hallway, the classroom doors should be locked, lights turned off, and classes should proceed as normal. No staff or students should leave the classroom for any reason until the lockdown has been lifted.
- When a **hard lockdown** occurs, this means that the danger is inside the building. Students should be brought into the classroom from the hallway, the classroom doors should be locked, lights turned off, and everyone should be out of the sight lines of the door windows. No staff or students should leave the classroom for any reason until the lockdown has been lifted.
- When everyone is told to **shelter in place**, due to an event outside the school building, class should be conducted as usual but no one may leave the building; students may be asked to exit through different doors.

VIII. Field Trips

- Students will be given a **Walking Field Trip Permission Form at the start of the year**, which will allow students to participate in walking trips in the UPCHS neighborhood throughout the year.
- Field trips to destinations outside of the UPCHS neighborhood **require a separate permission slip.**
- All trips must be approved by the principal at least two weeks in advance to ensure that all staff members can be informed and make appropriate accommodations.
- There must be a **1:15 ratio of staff to students on each trip.**

IX. Parent Outreach

- Teachers should regularly call parents of their **advisees**, as well as students in their classes.
- Teachers should summarize conversations with families in the **“Notes” section of PowerSchool, and log the call in the monthly phone log.**

X. Employment Policies and Procedures

Equal Opportunity Employer

- In order to provide equal employment and advancement opportunities to all individuals, employment decisions at UPCHS will be based on merit, qualifications, and abilities. UPCHS is an equal employment opportunity employers and does not discriminate against any person because of race, color, creed, religion, sex, national origin, disability, age or any other characteristic protected by law (referred to as "protected status"). This nondiscrimination policy extends to all terms, conditions and privileges of employment as well as the use of all company facilities, participation in all company-sponsored activities, and all employment actions such as promotions, compensation, benefits and termination of employment.
- UPCHS will make reasonable accommodations for qualified individuals with known disabilities to the extent required by law. This policy governs all aspects of employment, including selection, job assignment, compensation, discipline, termination, and access to benefits and training.
- Any employees with questions or concerns about any type of discrimination in the workplace are encouraged to bring these issues to the attention of their immediate supervisor at UPCHS or the Assistant Principal of Operations. Employees can raise concerns and make reports without fear of reprisal. Anyone found to be engaging in any type of unlawful discrimination will be subject to disciplinary action, up to and including termination of employment.
- UPCHS shall comply with Title IX of the Education Amendments of 1972, as amended, and shall not knowingly discriminate against individuals on the basis of gender.
- The School's Title IX Coordinator's contact information is as follows:

Miguel Suarez
Assistant Principal
600 St. Ann's Avenue
Bronx, NY 10455
Msuarez@upchs.org
718-292-6543
- The Title IX Coordinator may be used for all discrimination complaints. In the event a complaint concerns the Title IX Coordinator, **Miguel Suarez** should be contacted.

Recruitment

- UPCHS will make every effort to ensure that both the letter and the spirit of the laws prohibiting discrimination are fully implemented in all of its working relationships. UPCHS actively seeks diversity in its student/parent body, faculty, staff, and administration and is committed to equal employment opportunity. UPCHS will take all appropriate steps to verify the information provided on an employment application. These steps may take place before or after commencement of employment. Any misrepresentation, falsifications, or omissions of any information or data on an employment application may result in your exclusion from further consideration for employment and/or termination of employment.

Nepotism

- While UPCHS may hire and retain relatives of employees, it will not do so if it determines that hiring or retaining a relative may or does create problems of supervision, security, morality, or conflicts of interest. Relatives will not be permitted to work in direct supervisory or reporting relationship. UPCHS will attempt to provide alternative employment within UPCHS for relatives who are affected by the policy stated in this paragraph but this attempt creates no legal obligation.
- With respect to the employment of a relative, UPCHS defines relatives as spouses, partners, parents, children, step-children, siblings, in laws, step parents, and step brothers or sisters. Additionally, this policy also relates to individuals who are not legally related but who reside with other employees.

Fingerprinting/Background Checks

- Employees who will work with children or be present in schools when students are present will have to undergo a criminal background check supported by fingerprints or handscans through the New York State Education Department (NYSED) in accordance with NY Education Law §§ 2854(3)(a-2) and 3035. Until UPCHS receives the fingerprint clearance from NYSED, the employee must sign the required forms to receive a conditional clearance from the Board of Trustees of its designee and follow the supervisory policy for employees who have not received clearance. Such conditional clearances must be updated in accordance with NY Education Law.

Arrest of Employees

- Any person employed by UPCHS who has been arrested and charged with a violation, misdemeanor or felony must notify the Principal immediately. The employee must provide a copy of the criminal court complaint. The employee may be removed from direct contact with children initially. Upon final disposition of the criminal charges, there will be a review with federal law enforcement and legal agencies. If necessary, the appropriate disciplinary action up to and including termination will be enacted as appropriate.

Immigration Reform and Control Act

- Under federal immigration law, each employee hired must provide certain documentation and complete an “I-9” form demonstrating that he or she is authorized to work in the United States. Failure to provide such documentation in a timely manner will require discharge of the employee. Should an employee subsequently become unauthorized to work, the law requires that he or she must be discharged pending receipt of additional documentation demonstrating an extension of the authorization to work in the United States.

Employees with Disabilities

- In 1990, Congress passed a civil rights law prohibiting discrimination on the basis of disability in the private and public sectors. The Americans with Disabilities Act (<http://www.ada.gov/pubs/ada.htm>) provides civil rights protection to individuals with disabilities similar to those provided to individuals on the basis of race, color, sex, national origin, age, and religion. It guarantees equal opportunity for individuals with disabilities in public accommodations, employment, transportation, State and local government services, and telecommunications.
- Subject to applicable law, UPCHS will comply with the requirement to provide a reasonable accommodation(s) to any qualified employee or applicant with a known disability, where his or her disability affects the performance of his or her essential job functions, except where doing so would be unduly disruptive or would result in undue hardship.
- Individuals who believe they need an accommodation to perform the essential functions of their jobs should submit a written request to the Assistant Principal of Operations with appropriate medical documentation to support their request, describing the activities that can and cannot be performed. Consideration of a request for an accommodation may be delayed or denied if the appropriate documentation is not provided in a timely manner. Employees requesting an accommodation may be required to provide medical certification from the employee’s health care provider that includes: (1) identification of the health care provider; (2) the health care provider’s diagnosis of the disabling condition; (3) specific limitations and/or suggested restrictions and their relation to the disability; and (4) suggested accommodations.

Certifications

- To the extent required by New York State law, it is the responsibility of all school employees to acquire the necessary teaching or administrative certification as it may pertain to their current position. Unless otherwise agreed upon in writing between the employee and the School, the costs of gaining certification, including the costs of all tests, courses, or application fees, are the responsibility of the individual employee. The School can be a helpful resource in guiding employees through the certification process. It is, however, the individual employee’s responsibility to work toward achieving and maintaining his or her certification status.

Personnel Records and Files

- An employee's personnel file includes information such as his or her job application, résumé, offer letter, contracts, benefit forms, work history, salaries, vacations, sick days, performance evaluations, and correspondence concerning discipline. In accordance with the Americans with Disabilities Act, UPCHS keeps medical records in a file separate from personnel files. Personnel and medical files are the property of UPCHS and access to the information is restricted. In addition to the employee to whom the personnel file applies, the only persons allowed to review personnel files are supervisors that may have a legitimate reason to do so. If an employee wishes to review his or her own personnel or medical file, the employee should contact the Assistant Principal of Operations. With reasonable advance notice an employee may review his or her own personnel or medical file in UPCHS offices and in the presence of an individual appointed by the Principal to maintain the files. Employees have a right to copy the information and to submit written statements to their personnel files.
- Alternatively, employees can make a written Freedom of Information Law (FOIL) request for the contents of their personnel files, which may be redacted in accordance with FOIL.
- The contact information for University Preparatory Charter High School's Records Access Officer is as follows:

Deborah Raji
600 St. Ann's Avenue
Bronx, NY 10455
draji@upchs.org

- It is an employee's responsibility to immediately notify the Assistant Principal of Operations, in writing, of any changes in personnel data such as:
 - Legal name
 - Number of dependents
 - Change in marital status
 - Change in alien status
 - Professional certificates or licenses
 - Cell phone number
 - Names/numbers of emergency contacts
 - Change of beneficiary
 - Military status
- Failure to report the correct information may adversely affect the benefits to which an employee is entitled. All employees are required to complete all applicable federal and state tax withholding forms. Failure to file such documentation with the School will result in the employee not being paid. Providing false information may result in disciplinary action, including termination of employment.
- All reference checks or inquiries from other employers should be directed Assistant Principal of Operations. No one in UPCHS other than the Principal is authorized to respond either

verbally or in writing to personnel inquiries of any type about current or prior employees of UPCHS. UPCHS will not release any information about its current and prior employees to external sources other than dates of employment and job title, except where such release is required or authorized by law or otherwise authorized by employees. Employees who wish to have the Assisatant Principal of Operations department provide information to any particular company or individual must provide a written release.

Grievances

- Employees should familiarize themselves with the School's grievance policy, which is contained in the UPCHS Collective Bargaining Agreement

Resignation Policy

- On or before February 14th of each year, Employees must sign a **notice of intent to return** in order to assure assignment with the School for the following school year.
- Employees who indicate that they do not intend to return may change their election up until April 1st of each year and will be assured an assignment for the following year.
- An Employee may extend the April 1st deadline in a written request to the School, dated prior to April 1st, until April 15th, and such a request will not be unreasonably denied.

Return of School Property

- Upon separation, termination or resignation, employees must return all keys, records, files, supplies, or any other School property, and shall keep confidential such information to which employee has access during his or her employment that is protected by the Family Educational Rights and Privacy Act or otherwise protected by the Law or School policy. The employee will be responsible for any lost or damaged items.
- Staff may be asked to return school property for the summer months

Copyrights and Intellectual Property

- Employees acknowledge that the entire right, title, and interest of any and all writings and other creations that they may prepare, create, write, initiate or otherwise develop as part of their efforts while employed UPCHS, shall be considered the valuable asset and property of UPCHS. This includes, but is not limited to, any development of a curriculum. These works will be "works for hire" and shall be UPCHS' sole and exclusive property, copyright, patent and trademark. For items covered by this paragraph, employees hereby assign and transfer all rights, title and interests in all such items, including without limitation, all patent, trademark and copyright rights that now exist or may exist in the future. Employees further agree that at any reasonable time upon request, and without further compensation or limitation, they will execute and deliver any and all papers or instruments including assignments, declarations, applications, powers of attorney and other documents, that in UPCHS' opinion may be necessary or desirable to secure UPCHS' full enjoyment of all right,

title, interest and properties herein assigned. Employees agree to not charge UPCHS for use of their copyrighted, trademarked and patented materials.

XI. Confidentiality

- Employees of UPCHS shall not, in any way, release any information about UPCHS, its activities, or the activities of its personnel except as normally required by their duties, except as expressly permitted by the Principal, and in conformity with the requirements of applicable law, such as the Family Educational Rights and Privacy Act (FERPA), the Individuals with Disabilities Education Act (IDEA), and any other applicable federal, state, or local law or regulation on school policy or regulation.
- No employee shall publish, disclose, use, or authorize anyone else to publish, disclose, use, or in any way cause to be published, disclosed, or used any private or proprietary information which such employee may in any way acquire, learn, develop, or create by reason of employment with this school, unless otherwise permitted by the Principal. Any document or other material containing such information is required to be returned to the Principal upon an employee's termination or resignation.
- Protecting the confidential information about the school, its programs, students, their parents/guardians, and employees is vital to the interests of UPCHS and its success and required by law, including those specifically referred to above, among others. During your employment at UPCHS, you will likely learn or work with and be entrusted with confidential and/or privileged information about fellow employees, administrators, school parents/guardians, students or applicants. You will also learn about the school's programs, curriculum and other proprietary information. Confidentiality must be maintained with respect to all aspects of your employment relating to UPCHS' students, their records, the school's program and personnel. You must exercise the highest degree of care not to disclose any such information, even inadvertently, to any unauthorized person within or outside of UPCHS. You may not disclose any confidential or privileged information except to persons specifically designated in advance and in writing by the Principal.
- Employees must use professional judgment in avoiding exchanges of information about parents/guardians, colleagues or students with other parents/guardians, colleagues or students. Employees shall not refer to or discuss any student with the parents/guardians of other students. An important part of each UPCHS employee's role is that of respecting the confidentiality of students and their families, which is an aspect of ethical professional conduct. If in doubt about the confidentiality of any record or the appropriateness of disclosing information (including within UPCHS), contact the Principal prior to making any such disclosure to obtain guidance and advice.
- Confidential information includes, but is not limited to the following examples:
 - Student records
 - Financial information concerning the school, personnel or students

- Personnel records
 - Payroll records
 - Computer programs, codes, processes, reports, and passwords
 - Personnel information regarding school parents/guardians and students
- With respect to official, confidential student records protected by applicable federal and/or state law (e.g., FERPA), a child's parent/guardian may request access to his/her child's educational records. Such records may only be provided following a written request on the appropriate form and with prior approval of the Principal. If a parent/guardian requests a review or copies of his/her child's protected educational records, you must refer the parent/guardian to the Principal/Assistant Principal for the appropriate consent and release form.
 - If you believe confidential information must be disclosed to a third party, you must first consult with the Principal, prior to the contemplated disclosure. There is no excuse for the disclosure of confidential information. Failure to follow this policy may result in disciplinary action up to and including termination of employment.
 - This policy against misusing, misappropriating or sharing information and records applies equally during the employee's employment at UPCHS and after employment at UPCHS ends.
 - Upon termination of employment, all confidential information in the employee's possession must be returned to UPCHS.

XII. Child Abuse and Neglect

Child Abuse or Mistreatment Pursuant to Social Services Law, §411 et. seq.

- Pursuant to §413 of New York State's Social Services Law, school officials are required to report instances of suspected child abuse or maltreatment to the State Central Register of Child Abuse and Maltreatment ("SCR"). A hotline has been established for reporting by mandated reporters, which include school officials. For purposes of the mandatory reporting obligations, every employee at UPCHS is considered a school official. The hotline is 1-800-635-1522.
- Child "abuse" occurs when a parent or other person legally responsible for the child inflicts serious physical injury upon the child, creates a substantial risk of serious physical injury, or commits a sex offense against the child. In addition, the definition includes instances where the parent (or person legally responsible) knowingly allowed another to inflict such harm.
- Child "maltreatment" (which includes neglect) occurs when a child's physical, mental, or emotional condition has been impaired, or is in imminent danger of impairment, by the parent's (or other person legally responsible for the child) failure to exercise a minimum degree of care by (1) failing to provide sufficient food, clothing, shelter or education; (2)

failing to provide proper supervision, guardianship, or medical care; or (3) inflicting excessive corporal punishment, abandoning the child, or misusing alcohol or other drugs and, in doing so, causing the child to be placed in imminent danger.

- As mandated reporters, school officials, teachers, and employees are required to report suspected child abuse or maltreatment when they have reasonable cause to suspect either has. “Reasonable cause” to suspect child abuse or maltreatment means that, based on a school official’s rational observations, professional training, and experience, the official suspects that the parent or other person legally responsible for the child has harmed the child or placed the child in imminent danger of harm.
- The following procedures must be followed in reporting instances of child abuse and maltreatment:
 - If a school employee learns of or suspects a situation of abuse or maltreatment of a student by his or her parent or person legally responsible for the student’s care, the employee must report the situation to the Principal, Heads of School or Guidance Counselors immediately.
 - If, based on the employee’s report, the Principal, Assistant Principals or Guidance Counselors reasonably believes that abuse or maltreatment has occurred, the hotline must be immediately called at **1-800-635-1522** and a verbal report must be made.
 - The caller must ask the SCR representative his or her name and the “Call I.D.”
 - Within 24 hours of the School’s verbal report to the SCR hotline, the caller must complete and submit to the SCR mandated reporter a form “LDSS-2221A”. A form LDSS-2221A may be obtained from the New York State Office of Children and Family Services website at: www.ocfs.state.ny.us/main/forms or by calling (518) 472-0971.
 - If the school official is uncertain about whether a situation rises to the level of abuse or maltreatment, the official should contact the hotline to discuss the matter with a trained SCR specialist.
 - The Principal shall document for his or her confidential file the events, conversations, and facts associated with an allegation of child abuse or neglect, whether or not those circumstances rise to the level of reasonable suspicion that cause him or her to make a report to SCR.
 - All information relating to reports of child abuse or maltreatment shall be strictly confidential.

Child Abuse in the Educational Setting Pursuant to Education Law Article 23-B

- Pursuant to New York State Education Law §1126, and the regulations of the Commissioner of Education (8 N.Y.C.R.R. 100.2(hh)), any oral or written allegation to a teacher, school nurse, guidance counselor, psychologist, social worker, administrator, board member, or other school personnel required to hold a teacher or administrator license or certificate, that a child has been subjected to child abuse by an employee or volunteer in an educational setting, shall promptly make a report, on a form provided by the Commissioner of Education, consisting of the following:
 - The name of the child's parent;
 - The name of the person who reported the abuse and their relationship to the child;
 - The name of the employee or volunteer against whom the allegation is made;
 - A listing of the specific allegations.
- The report must be given to the Principal immediately. The report and all other written materials, photographs, and/or videos concerning the allegation and report are strictly confidential and may only be disclosed to law enforcement authorities involved in the investigation of the alleged child abuse, or as expressly authorized by law or pursuant to a court-ordered subpoena. Willful disclosure to a confidential record to an unauthorized person is a violation of law and a crime.
- The duties of administrators upon receipt of a written report alleging child abuse in an educational setting, where the administrator has a reasonable suspicion that an act of child abuse has occurred, shall be as follows:
 - If the alleged child-victim made the report, promptly notify the parent of the allegation and provide the parent with a written statement pursuant to §100.2(hh) of the Commissioner's Regulations setting forth the duties of employees and administrators upon receipt of the allegation, additional duties of superintendents, notification by the district attorney pursuant to Education Law §1130, and actions to be taken upon criminal conviction of a licensed or certified school employee pursuant to Education Law §1131.
 - If the parent made the allegation, promptly provide the parent with the above-referenced written statement.
 - If someone other than the child-victim or parent made the report, ascertain from the reporting person the source and basis of the allegation, promptly notify the parent and provide the parent with the requisite written statement.
 - If a public school administrator received the written report alleging abuse, the administrator must promptly provide UPCHS' Board Co-Chairs with a copy of the report as well.
 - A report of child abuse in an educational setting must be promptly forwarded to the appropriate law enforcement agencies.

- UPCHS shall forward the report of child abuse to the Commissioner of Education if the accused employee or volunteer holds a license or certification issued by the New York State Education Department.
- Any child abuse report that does not, after investigation, result in criminal conviction shall be expunged after five years or at such earlier time that the School determines.
- If the alleged abuse was by an employee or volunteer of a school other than one within the school district of the child's attendance, the report must be forwarded promptly to the Principal.
- At least annually, UPCHS will provide training to all new teachers, school nurses, guidance counselors, psychologists, social workers, administrators, board member and other school personnel required to hold a teacher or administrator's license or certificate requirements of reporting of child abuse in an educational setting.

XIII. Daily Class Schedules



DAILY CLASS SCHEDULE

University Prep Charter High School

upchs.org

Monday	Tuesday	Wednesday	Thursday	Friday
Lockers: 8:30-8:40	Lockers: 8:30-8:40		Lockers: 8:30-8:40	Lockers: 8:30-8:40
1 8:40-9:30	1 8:40-10:10	Late Start Lockers: 10:05-10:15	1 8:40-10:10	5 8:40-10:10
2 9:35-10:25				
3 10:30-11:20	2 10:15-11:45	5 10:15-11:45	2 10:15-11:45	6 10:15-11:45
4 11:25-12:15				
5 12:20-1:10	3 11:50-1:20	6 11:50-1:20	3 11:50-1:20	7 11:50-1:20
Lunch/Advisory 1:10-1:40				
Lunch/Advisory 1:40-2:10	Lunch/Advisory 1:25-1:55	Lunch/Advisory 1:25-1:55	Lunch/Advisory 1:25-1:55	Lunch/Advisory 1:25-1:55
6 2:15-3:05	Lunch/Advisory 1:55-2:25	Lunch/Advisory 1:55-2:25	Lunch/Advisory 1:55-2:25	Early Release
	7 3:10-4:00	4 2:30-4:00	7 2:30-4:00	
Lockers: 4:00-4:10				
	Office Hours 4:00-5:00	Office Hours 4:00-5:00	Office Hours 4:00-5:00	

University Prep Charter High School
 600 St. Ann's Avenue, 4th Floor
 Bronx, New York 10465
 718.292.6543

Daily Class Schedule | UPCHS

XIV. Alternative Class Schedules



ALTERNATIVE CLASS SCHEDULE

University Prep Charter High School					upchs.org
Late Arrival 10:10 am					Town Hall
Monday	Tuesday	Wednesday	Thursday	Friday	Friday
Lockers 10:10-10:15	Lockers 10:10-10:15	Lockers 10:10-10:15	Lockers 10:10-10:15	Lockers 10:10-10:15	Lockers: 8:30-8:40
1 10:15-10:45	1 10:15-11:15	5 10:15-11:45	1 10:15-11:15	5 10:15-11:15	5 8:40-9:40
2 10:50-11:20			2 11:20-12:20	6 11:20-12:20	6 9:45-10:45
3 11:25-11:55	2 11:20-12:20				7 10:50-11:50
4 12:00-12:30		6 11:50-12:00	3 12:25-1:25	7 12:25-1:25	Lockers
5 12:35-1:05	3 12:25-1:25				Town Hall by Advisory 11:55-1:20
Lunch/Advisory 1:10-1:40	Lunch/Advisory 1:25-1:55	Lunch/Advisory 1:25-1:55	Lunch/Advisory 1:25-1:55	Lunch 1:25-1:55	Lunch 1:25-1:55
Lunch/Advisory 1:40-2:10	Lunch/Advisory 1:55-2:25	Lunch/Advisory 1:55-2:25	Lunch/Advisory 1:55-2:25	PD 2:00-4:00	
6 2:15-3:05	4 2:30-4:00	7 2:30-4:00	4 2:30-4:00		
7 3:10-4:00					
Lockers	Lockers	Lockers	Lockers		PD 2:00-4:00
Office Hours 4:00-5:00	Office Hours 4:00-5:00	Office Hours 4:00-5:00	Office Hours 4:00-5:00		

University Prep Charter High School
 600 St. Ann's Avenue, 4th Floor
 Bronx, New York 10455
 718.292.6543

Alternative Class Schedule | UPCHS

Appendix A: UPCHS Code of Ethics

All Trustees, officers and employees of University Prep Charter High School (UPCHS) are expected to behave at the highest level of professional standards and ethics. The following code of conduct applies to Trustees, officers or employees as specified:

- The Board of Trustees (the "Board") shall conduct its affairs subject to the Charter Schools Act, applicable provisions of the Education Law, provisions of the Not-For-Profit Corporation Law made applicable to education corporations by section 216-a of the Education Law and federal law and regulations related to the School's I.R.C. 501(c)(3) status, as well as the school's charter and by-laws and other applicable provisions of law and regulations. The Board may delegate aspects of the management of the activities of the school to others, so long as the affairs of the school are managed, and its powers are exercised, under the Board's ultimate jurisdiction.
- Trustees shall avoid at all times engaging in activities that would appear to be unduly influenced by other persons who have a special interest in matters under consideration by the Board. If a Trustee inadvertently engages in such activities, such Trustee shall promptly notify the Board in writing of such activities and shall disclose all known facts prior to participating in a Board discussion of these matters.
- Trustees shall make full disclosures whenever there may be a conflict of interest with respect to a matter under discussion or consideration by the Board.
- Trustees shall not acquire or receive any gift for their personal use from someone doing business with the school.
- Trustees, officers and employees cannot have an interest in any for-profit contract with the school.
- Trustees, officers, and employees must disclose contracts with not-for-profit entities, such as charter management organizations, and partners and founding organizations.
- Trustees, officers and employees may work on political campaigns on non-school time. However, Trustees, officers or employees never may ask a subordinate, a student or a parent/guardian of a student to work on or give to any political campaign.
- Trustees, officers and employees owe their loyalty to the school. Therefore, they may not communicate with the school on behalf of a person or a firm unless such communication is part of their official duties for the school.

- Trustees, officers and employees may not use confidential school information for a non-school purpose or disclose it to a private person or a firm for non-school purposes.
- Trustees, officers and employees may not have a financial relationship with supervisors or subordinates outside their employment relationship with the school and the Board.
- Trustees, officers and employees may not act in connection with any lawsuit or administrative hearing as a lawyer or an expert for a private interest if the school interest is involved.
- Trustees, officers, and employees will abide by General Municipal Law section 805-a which states that no trustee, officer or employee shall:
 - Directly or indirectly, solicit any gift, or accept or receive any gift having a value of seventy-five dollars or more, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence him, or could reasonably be expected to influence him, in the performance of his official duties or was intended as a reward for any official action on his part;
 - Disclose confidential information acquired by him in the course of his official duties or use such information to further his personal interests;
 - Receive, or enter into any agreement, express or implied, for compensation for services to be rendered in relation to any matter before any municipal agency of which he is an officer, member or employee or of any municipal agency over which he has jurisdiction or to which he has the power to appoint any member, officer or employee; or
 - Receive, or enter into any agreement, express or implied, for compensation for services to be rendered in relation to any matter before any agency of his municipality, whereby his compensation is to be dependent or contingent upon any action by such agency with respect to such matter, provided that this paragraph shall not prohibit the fixing at any time of fees based upon the reasonable value of the services rendered.
- Trustees, officers and employees must abide by section 803 of the General Municipal Law which states, "Any officer or employee who has, will have, or later acquires an interest in—or whose spouse has, will have, or later acquires an interest in—any actual or proposed contract, purchase agreement, lease agreement or other agreement, including oral agreements, with the municipality of which he or she is an officer or employee, shall publicly disclose the nature and extent of such interest in writing to his or her immediate supervisor and to the governing body thereof as soon as he or she has knowledge of such actual or prospective interest. Such written disclosure shall be made part of and set forth in the official record of the proceedings of such body." Any such trustee, officer or employee who shall knowingly and intentionally violate any of the provisions of this code may be suspended or removed from office.
- The Board, or a board of ethics, which it may establish, shall render advisory opinions to Trustees, officers and employees with respect to the code of ethics.

This Code of Ethics will be distributed to all employees upon hiring by the school and to all officers and Trustees upon appointment to the Board, and each such person will be required to abide by this Code. If amendments are made to the Code of Ethics, all employees, officers and Trustees shall receive an updated copy. Time will be allotted at an appropriate Board and staff meeting to explain the Code. The School Leader shall serve as the compliance officer to ensure compliance with the Code of Ethics; one Trustee (with no affiliation with the school's partner organization) shall be appointed to oversee the Principal in this role.

DRAFT

Appendix B: Committee Descriptions

Committee Name	Description
Budget Committee	This committee reviews the school's proposed budget and makes recommendations to the Administration and the Board regarding budget allocations for the following school year.
Hiring Committee	This committee is responsible for ensuring that UPCHS attracts, recruits, and hires high-quality educators.
Professional Development Committee	In collaboration with the school leadership, this committee is responsible for planning and sometimes delivering professional development targeted at the specific needs of the staff.
Senior Events	This committee collaborates with the senior class to plan and fund senior activities such as prom, yearbook, senior breakfast and trip.
Schoolwide Events Committee	This committee solicits participation from students and staff to organize school-wide activities such as dances, trips, performances, and fundraisers.
Awards & Town Hall Committee	This committee coordinates a monthly celebration to recognize student and staff accomplishments in academic excellence, athletic achievement, and extracurricular successes.
Community Outreach Committee	This committee organizes efforts to enrich school and community relations through programming which includes Career Day and holiday food drives.
Programming & Calendar Committee	This committee determines the work calendar for the following school year and works with administration to create the master program of courses.
Student Recruitment Committee	This committee coordinates outreach to local middle and elementary schools at high school fairs and hosts open house events to recruit prospective 9th and 10th grade students.
Leadership Committee	This committee is composed of the principal and a representative of each of the other committees. It meets quarterly to share progress, identify synergies among committees, and submit proposals for administrative approval.

Appendix C: UPCHS 2016-17 Academic Calendar



UNIVERSITY PREP CHARTER HIGH SCHOOL | 2016-17 CALENDAR

Month	Calendar Grid	Notes																																																	
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Appendix D: 2016-17 Friday Meeting Schedule

This schedule does not include whole staff meetings, administration-led professional development, or alternative Friday activities.

Fall Semester			
	Day of the Week	Date	Meeting
September	Friday	9-Sep	Grade Level
	Friday	16-Sep	Inquiry Team
	Friday	23-Sep	Grade Level
	Friday	30-Sep	Inquiry Team
October	Friday	7-Oct	Grade Level
	Friday	14-Oct	Inquiry Team
	Friday	21-Oct	Afternoon PTC
	Friday	28-Oct	Grade Level
November	Friday	4-Nov	Inquiry Team
	Tuesday	8-Nov	Professional Development Day
	Thursday	10-Nov	TBD
	Friday	18-Nov	Inquiry Team
	Friday	25-Nov	Thanksgiving Holiday
December	Friday	2-Dec	Grade Level
	Friday	9-Dec	Inquiry Team
	Friday	16-Dec	Afternoon PTC
	Friday	23-Dec	Holiday Break
	Friday	30-Dec	Holiday Break
January	Friday	6-Jan	Grade Level
	Friday	13-Jan	Tentative: Diversity Workshop
	Friday	20-Jan	TBD
	Friday	27-Jan	January Regents
	Monday	30-Jan	Professional Development Day

Appendix D (continued): 2016-17 Friday Meeting Schedule

Spring Semester			
	Day of the Week	Date	Meeting
February	Friday	5-Feb	Grade Level
	Friday	10-Feb	Inquiry Team
	Friday	17-Feb	Mid-Winter Recess
	Friday	24-Feb	Mid-Winter Recess
March	Friday	3-Mar	Grade Level
	Friday	10-Mar	Afternoon PTC
	Friday	17-Mar	Inquiry Team
	Thursday	23-Mar	Grade Level
	Friday	24-Mar	Professional Development Day
	Friday	31-Mar	Inquiry Team
April	Friday	7-Apr	Spring Break
	Friday	14-Apr	Spring Break
	Friday	21-Apr	Grade Level
	Friday	28-Apr	Tentative: Inquiry Project Close-Out
May	Friday	5-May	Grade Level
	Friday	12-May	Afternoon PTC
	Friday	19-May	Senior Brunch
	Friday	26-May	Grade Level
June	Friday	2-Jun	TBD
	Friday	9-Jun	TBD
	Friday	16-Jun	June Regents
	Friday	23-Jun	June Regents

University Prep Charter Middle School
R-12a – Partner Organizations

University Prep Charter High School has established an institutional partnership with **Future is Now Schools, Inc. (FIN)**. FIN was formerly known as Green Dot America (GDA). GDA was incorporated as a not-for-profit entity in California “to educate the public about improving public education in California and nationwide.” Additionally, the organization was established “to advance the goal of reforming our public education system through local, statewide and national educational campaigns. Activities will include communicating with the public, teachers, and parents, building coalitions, and providing them with information and resources to help promote educational reform efforts in California and nationwide.”

Today, FIN continues to operate as a not-for-profit organization and has as its mission, “to develop a sustainable model of educational reform: (1) economically sustainable by virtue of high-performing model schools that leverage the efficiencies of hybrid technology and local participation; and (2) politically sustainable by virtue of being supported by professional associations of teachers.”

FIN’s political work, inspired by founder Steve Barr’s successes in organizing for political and social change, strives for an environment in which:

- Communities at every income level support the adoption of effective, efficient educational practices.
- Union leaders, districts and other stakeholders embrace opportunities to improve the professional standards for teachers and the quality of teaching in public schools.
- Districts and unions work together to adopt professional contracts that give teachers the rights and responsibilities typical of other highly educated professionals such as doctors and lawyers

In parallel with school openings, FIN will actively support the development of a New Unionism movement at the national level. In contrast to many in the education reform space in general and the charter movement in particular, FIN believes that teachers’ unions are critical in the push for systemic education reform and that both leadership and rank and file will come to support innovation. FIN’s experienced organizers are developing a portfolio of strategies and tools that will support reform-minded union members, amplify their voices, and help them push for a transition to professional contracts.

FIN believes that systemic reform will be driven by:

- full and equitable funding of all public school students, with local control of budgets
- the transformation of existing public schools that are currently failing
- teachers who are empowered as professionals
- teachers’ unions, districts and communities that elevate teaching to the status of a profession
- improvements in the impact and efficiency of professional educators, driven by technology

FIN’s support of UPCHS and the education corporation is in-kind and comprises support such as thought partnership, progress monitoring, and board support. The education corporation does not provide compensation to FIN for any services rendered.

The education corporation has not yet established any partnerships likely to have a significant impact on the proposed charter school.

University Prep Charter Middle School
R-12b – Partner Commitment

The education corporation is not presently proposing any new partnerships to support the launch of UPCMS or its academic and operational needs. This response is not applicable.

Steve Barr Founded Green Dot Public Schools in 1999 and served as its Chief Executive Officer. Mr. Barr held a number of leadership positions in political and social service organizations. In 1990, Mr. Barr co-founded Rock the Vote. Mr. Barr hosted President Clinton's National Service Inaugural event, which led to the creation of Americorps. He then oversaw an Americorps after-school program project in South Central and East Los Angeles that focused on helping single mothers transition off of welfare. Mr. Barr has been active in politics throughout his professional career, serving several presidential campaigns and as a finance chair for the Democratic Party. Additionally, Mr. Barr helped drive political change through television, as a national correspondent on the nationally syndicated Disney-produced "The Crusaders", as a contributor to Discovery Channel's "Why Things Are?", and as a writer in national magazines such as George. Steve authored "The Flame: An Unlikely Patriot Finds a Country to Love" (Morrow, 1987). Mr. Barr is a State Board of Education appointee to the Advisory Commission on Charter Schools, where he provides policy recommendations to the State Board of Education on charter school-related issues. Mr. Barr formerly served as Chairman of the Board of Green Dot Public Schools. Mr. Barr is the chair of the UPCHS board of trustees.

Burton Sacks, the former chief executive of the Board of Education of the City of New York and the former senior assistant to the president of the United Federation of Teachers, joined City University of New York as Deputy Chief Operating Officer for Management Services in 2008. As the Deputy Vice Chancellor for Operations in the Office of University Relations, Mr. Sacks provides administrative oversight of the Office of Communications and Marketing, the Office of State Relations in Albany, CUNY-TV and Citizenship Now! He also serves as an adviser to the Chancellor on special projects.

In his 33 years with the New York City Board of Education, Sacks served under five chancellors and for a decade, from 1992 through 2002, was its chief executive. During his tenure, he had direct responsibility for the Office of Community School District Affairs, the Office of Monitoring, the Office of Special Projects, Nonpublic School Reimbursable Programs, Office of Zoning, Office of Student Safety and Prevention Programs and the Office of Charter Schools. He also was the liaison for the New York City Police Department's Office of School Safety. In his work for the New York City Board of Education, Mr. Sacks supervised employees and oversaw and monitored budgets while acting as a liaison to the community school districts. After leaving the board in 2002, he became the senior adviser to the president of the United Federation of Teachers. He held that post until coming to CUNY. Mr. Sacks holds a professional diploma in educational administration from Yeshiva University. In addition to a bachelor's degree and two master's degrees from Long Island University, he did post-graduate study at New York University's Graduate School for Public Administration.

Mr. Gideon Stein is Founder of LightSail Inc and serves as its Chief Executive Officer. Mr. Stein serves as the Managing Partner of RestructureOne. Mr. Stein serves as Vice President of Messagelabs Ltd. Mr. Stein Co-founded Omnipod Inc. in 1999 and served as its Chief Executive Officer. Mr. Stein served as Co-Chief Executive Officer of Omnipod Inc. He is an Entrepreneur and Founding Partner of Monkey Rock Ventures, a private investment firm with a portfolio of companies concentrated in media, commerce, and software, including 360merch.com (sold to iPROMOTEu), Blue Media Ventures, and E! the Magazine (a joint venture with Interpublic Group of Companies and E! Entertainment Television). Mr. Stein serves as a Director of Omnipod Inc., IF Holdings LLC and directors of the Moriah Fund. Mr. Stein also served on the board of

directors of the Real Silk Investment Company, a publicly traded regulated investment company, until its sale to Lord Abbett Affiliated Funds. Mr. Stein received his BA in Economics and History from the Wesleyan University.

RANDI WEINGARTEN is president of the 1.6 million-member American Federation of Teachers, AFL-CIO, which represents teachers; paraprofessionals and school-related personnel; higher education faculty and staff; nurses and other healthcare professionals; local, state and federal government employees; and early childhood educators. The AFT champions fairness; democracy; economic opportunity; and high-quality public education, healthcare and public services for students, their families and communities. The AFT and its members advance these principles through community engagement, organizing, collective bargaining and political activism, and especially through members' work.

Prior to her election as AFT president in 2008, Weingarten served for 12 years as president of the United Federation of Teachers, AFT Local 2, representing approximately 200,000 educators in the New York City public school system, as well as home child care providers and other workers in health, law and education. In 2013, the *New York Observer* named Weingarten one of the most influential New Yorkers of the past 25 years. *Washington Life* magazine included Weingarten on its 2013 Power 100 list of influential leaders.

R-13ac – Governance

This response is incorporated by reference.

Governance Structure _ University Prep Charter High School

The education corporation will ensure the sustainability of our success without making material changes to our structure. The board of trustees will remain in its current structure. The board will continue to meet monthly and rely upon our practice of using strong committees supported by staff to inform our decision-making.

During the past charter term, the education corporation selected a new principal to lead UPCHS and provide coordinating leadership across the instructional and operational teams. The administrative leadership has evolved to permit the principal to work more closely with the two assistant principals for instruction on support and leadership. The instructional leadership assumes the first level of responsibility for observing teachers, offering modeling and coaching support, and monitoring programmatic effectiveness. The principal provides monthly and ad hoc reporting to the board of trustees. Monthly reporting allows for trustees to make informed and timely decisions on matters of import.

The operations partnership with the UFT was terminated in phases, beginning in 2014-15. The relationship ended during the 2015-16 school year. The education corporation replaced support services such as payroll, human resources, procurement, and inventory management. Financial support services are outlined in the fiscal plan of the application. Additional operations leadership is provided by an Assistant Principal for Operations and an operations lead staff member with responsibilities for supporting the AP, coordinating internal requirements of schoolwide policy, and liaising with external entities including vendors and consultants.

The board does not envision making changes to the composition, size or general practices over the next charter term.

BY-LAWS
OF
University Prep Charter High School
(A Type B New York Not-for-Profit Corporation)

ARTICLE I
MEMBERS

1.1 Members. The Educational Corporation known as the University Prep Charter High School (“School”) shall have no members.

ARTICLE II
TRUSTEES

2.1. Powers. The School shall be managed by the Board of Trustees (“Trustees”). Trustees shall act only through the Board of Trustees, and shall have no power as individual trustees.

2.2. Qualifications. Each Trustee shall be at least 18 years of age. Trustees shall have such other qualifications as may be prescribed by the Certificate of Incorporation or these By-laws.

2.3. Number.

2.3.1. Voting Trustees. The number of voting Trustees on the Board of Trustees shall not be less than five and not more than 11, or such other maximum number as may be determined from time to time by vote of a majority of the entire Board of Trustees (the term “entire Board” has the same meaning set forth in section 2.8 below). Any newly created Trustee positions may be filled in accordance with section 2.7 below. If the Board of Trustees votes to decrease the number of Trustees, such a decrease shall not affect the term of any incumbent Trustee. If new Trustee positions are created, the Board of Trustees shall determine the class(es) of the additional Trustee(s) in accordance with the principles of section 2.5.

2.4. Initial Trustees; Nomenclature. The nine members of the initial Board of Trustees (“Initial Trustees”), and their respective Board positions, shall be designated by majority vote of the founders who are set forth on Annex A. The designees as of the date hereof are as set forth on Annex B.

2.5. Terms. At the first Annual Meeting, the Trustees shall be divided into three equal classes to serve one-, two-, and three-year terms respectively (“Classification Terms”) so that thereafter, one-third of the Trustees' terms shall expire at the time of the Annual Meeting over the subsequent three years. Each Trustee elected after the expiration of a Classification Term shall hold office for a term of three years. Each Trustee may be elected to a successive term.

2.6. Election of Trustees. After the expiration of the Classification Terms of an Initial Trustee (or as of the first Annual Meeting following the earlier death, resignation or removal of an Initial

Trustee), such Trustee's Board position shall be considered open. No special qualification, residence or affiliation requirements are imposed by these by-laws in respect of such seats. Candidates for open Board positions shall be nominated as follows: a Nominating Committee designated by the Board and composed of Trustees whose terms are not expiring shall nominate one or more candidates for each open Other Seat. At each Annual Meeting, the Trustees shall, by a majority of votes cast, elect Trustees (to the extent there are open Board positions) and elect officers of the School for the ensuing year; the Trustees shall transact such other business as may properly come before the meeting. In the event that no candidate receives a majority of votes cast, the two candidates receiving the highest number of votes shall participate in a run-off, until one candidate receives a majority of the votes cast. Blank votes or abstentions shall not be counted in the number of votes cast. Any Trustee duly elected at an Annual Meeting shall hold office until the expiration of his or her term and until his or her successor is elected and qualifies (or until his or her earlier death, resignation or removal).

2.7. Newly Created Trusteeships and Vacancies. Both newly created Trusteeships resulting from an increase in the number of Trustees and vacancies among the Trustees for any reason, including, without limitation, the removal of a Trustee, may be filled by the vote at any meeting of the Board of Trustees of a majority of the Trustees then in office. A Trustee elected pursuant to this section of these by-laws shall hold office until the next Annual Meeting of the Board of Trustees at which the election of Trustees is in the regular order of business and until his/her successor shall be elected and shall qualify, or until such Trustee's earlier death, removal or resignation.

2.8. Removal of Trustees. In accordance with Education Law, a trustee may be removed for cause by a vote of the Board of Trustees, provided said Trustee has been duly notified in writing with the reason for removal, and provided there is a quorum of not less than a majority of the entire Board of Trustees at the meeting at which such action is taken. As used in these by-laws, "entire Board of Trustees" means the total number of Trustees entitled to vote which the School would have if there were no vacancies on the Board of Trustees.

2.9. Annual Meeting. The Annual Meeting of the Board of Trustees shall be held in the month of December of each year at the main facility of the School, or at such other place and at such time as shall be determined by the Board of Trustees or the Chairperson and designated in the notice or waivers of notice of the meeting.

2.10. Annual Financial Report. At each Annual Meeting of the Board of Trustees, the Chairperson and Treasurer shall present an annual financial report showing in appropriate detail the following:

- (1) the assets and liabilities of the School as of the end of the fiscal year of the School just terminated;
- (2) the principal changes in assets and liabilities during such fiscal year;
- (3) the revenue or receipts of the School, both unrestricted and restricted to particular purposes during such fiscal year; and

(4) the expenses or disbursements of the School, for both general and restricted purposes, during such fiscal year.

This annual financial report is a requirement separate from that of the filing of an annual report with the charter entity and the Board of Regents in accordance with Section 2.11, or from any other financial reporting requirements the Board of Trustees may have.

2.11. Annual Report. In accordance with the New York Charter School Act, an annual report shall be submitted to the “charter entity” and to the Board of Regents. This annual report shall be in the form and contain information as prescribed by the New York Charter School Act, and shall include a copy of the most recent independent fiscal audit of the school, which will be monitored and compiled by an Audit Committee.

2.12. Regular and Special Meetings. Regular or any special meetings of the Board of Trustees may be held at any place within or outside of the State of New York. Regular meetings of the Board of Trustees may be held at such times as may be fixed from time to time by resolution of the Board of Trustees. Special meetings of the Board of Trustees may be called at any time by the Chairperson, shall be called by the Secretary of the School on the request of any two Trustees, or may be called as otherwise determined by the Board of Trustees.

2.13. Quorum. A majority of the entire Board of Trustees shall constitute a quorum for the transaction of business or of any specified item of business, but a majority of the Trustees present, whether or not a quorum is present, may adjourn any meeting to another time and place.

2.14. Notice or Waiver of Notice of Meetings. Annual, regular and special meetings of the Board of Trustees shall be held on notice to the Trustees. Notice of any adjournment of a meeting of the Board of Trustees to another time or place shall be given to the Trustees who were not present at the time of the adjournment and, unless such time and place are announced at the meeting, to the Trustees who were present. Notices shall state the time and place of the meeting and shall indicate that they are being issued by or at the direction of the person calling the meeting. Notice of each meeting of the Board of Trustees shall be given to each Trustee not later than noon, New York time, on the seventh day prior to the meeting. Notices are deemed to have been given: by mail, when deposited with the first class postage thereon prepaid, at a post office or official depository under the exclusive care and custody of the United States Postal Service; by telegram at the time of filing; by messenger at the time of delivery; by electronic mail at the time of transmission; and by facsimile at the time of confirmation of transmission, mechanical or otherwise. Notices by mail, telegram, messenger, electronic mail or facsimile shall be sent to each Trustee at the address, electronic mail address, or facsimile number designated by him/her for that purpose or, if none has been so designated, at his/her last known address. Notice of any meeting of the Board of Trustees need not be given to any Trustee who submits a signed Waiver of Notice, whether before or after the meeting, or who attends the meeting without protesting, prior thereto or at the commencement thereof, the lack of notice to him/her. If a purpose of a meeting of the Board of Trustees is the removal of any director, the notice or waiver of notice of such meeting shall so state.

2.15. Open Meetings. Notwithstanding any other provisions of these By-laws, the School shall comply with the New York Open Meetings Law.

2.16. Executive Session. To the extent permitted by the New York Open Meetings Law, regular or special meetings of the Board of Trustees may be conducted in Executive Session. Topics for an executive session will be limited to those few confidential matters identified in the New York Open Meetings Law.

2.17. Action by the Board of Trustees. (a) Except as otherwise provided in Sections 2.18 and 2.19 of these By-laws, any reference in these by-laws to action to be taken by the Board of Trustees shall mean such action at a meeting of the Board of Trustees. Except as otherwise expressly required by law or by these by-laws, the vote of a majority of the Trustees present at the time of the vote, if a quorum is present at such time, shall be the act of the Board of Trustees. In any case in which a Trustee is entitled to vote, he/she shall have no more than, or no less than, one vote.

(b) Pursuant to the Education Law, if any Trustee shall fail to attend three consecutive meetings without excuse accepted by the Board of Trustees, the Trustee shall be deemed to have resigned, and the vacancy shall be filled.

2.1. Videoconference Meetings. Any one or more members of the Board of Trustees or any committee thereof may participate in a meeting of the Board of Trustees or such committee by means of videoconferencing or similar communication equipment allowing for simultaneous visual and auditory participation of all persons participating in the meeting so long as the public has notice of and access to all such locations in accordance with the New York Open Meetings Law. Participation by such means shall constitute presence in person at a meeting.

ARTICLE III

EXECUTIVE AND OTHER COMMITTEES

3.1. Executive and Other Committees of Trustees.

(a) The Board of Trustees, by resolution adopted by a majority of the entire Board of Trustees, may designate from among its members an Executive Committee, consisting of five, and other standing committees, each consisting of three or more Trustees, and each of which, to the extent provided in the resolution, shall have all the authority of the Board of Trustees, except that no such committee shall have authority as to the following matters:

- (1) the filling of vacancies in the Board of Trustees or in any committee;
- (2) the fixing of compensation of the Trustees for serving on the Board of Trustees or on any committee;
- (3) the amendment or repeal of the by-laws or the adoption of new by-laws; and
- (4) the amendment or repeal of any resolution of the Board of Trustees which, by its terms, shall not be so amendable or repealable.

(b) The Board of Trustees may designate one or more Trustees as alternate members of any such committee, who may replace any absent member or members at any meeting of such committee.

(c) The Board of Trustees may create such special committees as it may deem desirable. Special committees shall have only the powers specifically delegated to them by the Board of Trustees and in no case shall have powers which are not authorized for standing committees.

(d) All committees of the Board of Trustees shall serve at the pleasure of the Board of Trustees. Members of committees who are designated by the Board of Trustees shall serve at the pleasure of the Board of Trustees.

(e) The Executive Committee shall include at least one holder of a Parent Seat unless otherwise agreed by a majority vote of the entire Board.

(f) An Audit Committee, created and operating under the guidelines relating to committees as set forth in these by-laws, shall have and may exercise the authority, without limitation, to (i) recommend the annual appointment of the School's auditors, (ii) review with the School's auditors the scope of the audit and non-audit assignments and related fees, accounting principles the School shall use in financial reporting, internal auditing procedures and the adequacy of the School's internal control procedures (iii) take all actions necessary and appropriate in light of, and in order to comply with, all applicable statutes, rules and regulations of regulatory agencies and bodies, and (iv) perform such other matters as the Board may assign from time to time.

3.2. Organization, Meetings of Committees. The Chairperson of the Board of Trustees shall be ex officio chairperson of the Executive Committee, and the Secretary of the Board of Trustees shall act as secretary thereof. All committees may adopt rules governing the time of, the method of calling, or the method of holding their meetings, and the conduct of their affairs. All committees shall keep a record of their acts and proceedings in accordance with the New York Open Meetings Law and shall report thereon to the Board of Trustees.

3.3. Quorum and Manner of Acting. A majority of the members of a committee shall constitute a quorum for the transaction of business, and the act of a majority of those present at a meeting at which a quorum is present shall be the act of the committee. Except as otherwise provided in Sections 2.18 and 2.19 of these By-laws, the members of a committee shall act only as a committee.

ARTICLE IV OFFICERS

4.1. Officers. At each annual meeting, the Board of Trustees shall elect, by a plurality of the votes cast for each office, a Chairperson and President, one or more Vice Chairpersons, a Secretary, a Treasurer, and such other officers or assistant officers as it may determine. Any two or more offices may be held by the same person, except the offices of President and Secretary or the offices corresponding thereto.

4.2. Chairperson and President. The Chairperson shall be elected from among the members of the Board of Trustees. He/she shall, if present, preside at all meetings of the Board of

Trustees and the Executive Committee. Unless otherwise provided by these by-laws or in a resolution of the Board of Trustees by creating or modifying a special committee, he/she shall appoint the members and chairpersons of all special committees. The Chairperson shall be deemed to act as, and may exercise the powers of, President of the School to the extent action in such capacity is necessary or desirable. The Chairperson shall perform such other duties as may from time to time be assigned to him/her by the Board of Trustees.

4.3. Vice Chairpersons. If the Chairperson is absent or if there is a vacancy in the office of the Chairperson, then the Vice Chairpersons in the order designated by the Board of Trustees, or in the absence of such designation by the Board of Trustees in order of seniority, shall perform all the duties of the Chairperson and in so acting shall have all the powers of and be subject to all the restrictions upon the Chairperson. Any Vice Chairperson shall perform such duties as may from time to time be assigned to such Vice Chairperson by the Board of Trustees or the Chairperson.

4.4. Treasurer. The Treasurer shall be responsible for preparing the annual budget of projected Board expenses which, upon approval by the Board, shall be submitted to the School Business Manager. The Treasurer shall also ensure that all Board expenditures follow policies established by the Board. Additionally, the Treasurer shall be responsible for the review and acceptance of all interim unaudited Financial Statements prepared by the School Business Office that are presented at Board Meetings. The review of Financial Statements will include all School bank account reconciliations for the corresponding financial reporting period.

4.5. Secretary. The Secretary shall act as secretary of all meetings of the Board of Trustees and of the Executive Committee, and shall keep the minutes thereof in the proper book or books to be provided for that purpose. The Secretary shall see that all notices required to be given by the school are duly given. The Secretary shall have charge of the books, records and papers of the school. The Secretary shall see that the reports, statements, and other documents required by law are properly kept and filed. The Secretary shall perform such other duties as may from time to time be assigned to the Secretary by the Board of Trustees or by the Chairperson. No Trustee may serve concurrently on the Board of Trustees as Chairperson and Secretary.

4.6. Term. Each officer shall hold office until death, resignation, removal or until the next annual meeting of the Board of Trustees and until his/her successor shall be elected and shall qualify, whichever first occurs.

4.7. Resignations. Any officer may resign at any time, in writing, by notifying the Board of Trustees. Such resignation shall take effect at the time therein specified and, unless otherwise specified therein, the acceptance of such resignation shall not be necessary to make it effective.

4.8. Vacancies. A vacancy in the office of any officer caused by death, resignation, removal or other cause shall be filled for the unexpired portion of the term by a majority of the votes cast by the Trustees at any regular or special meeting. In the case that no candidate receives a majority of the votes cast, the two candidates receiving the highest number of votes shall participate in a run-off, until one candidate receives a majority of the votes cast. Blank votes or abstentions shall not be counted in the number of votes cast.

ARTICLE V
CONTRACTS, LOANS AND GRANTS

5.1. Contracts. Except as otherwise provided by law, the Board of Trustees may, prospectively or retroactively, authorize the Secretary or, prospectively, authorize any other officer(s) or agent(s) of the School, in the name and on behalf of the School, to enter into any contract. Any such authority may be general or confined to specific instances.

5.2. Loans. The Board of Trustees may prospectively authorize the Treasurer or any other officer(s) or agent(s) of the School to effect loans and advances at any time for the School from any bank, trust company or other institution, or from any firm, corporation or individual, and for such loans and advances to make, execute and deliver promissory notes, bonds or other certificates or evidences of indebtedness of the School, and when authorized to do so to pledge and hypothecate or transfer, to the extent permitted by-law, any securities or other property of the School as security for any such loans or advances. Such authority conferred by the Board of Trustees may be general or confined to specific instances.

5.3. Grants. The Board of Trustees, on the basis of written recommendations from individual Trustees, officers and employees of the School, may, prospectively or retroactively, authorize the Chairperson, on behalf of the School, to make grants and other contributions.

ARTICLE VI
COMPENSATION OF TRUSTEES

6.1. Compensation of Trustees. No compensation shall be paid by the School to any Trustee for services as such. Trustees and officers may be reimbursed or advanced reasonable expenses relating to the execution of their duties as Trustees or officers in any manner prescribed by the Board of Trustees. Such a Trustee or officer shall not, for purposes of Section 720-a of the New York Not-for-Profit Corporation Law, be considered compensated solely by reason of reimbursement or being advanced his or her actual expenses incurred in attending meetings or otherwise in the execution of such office.

ARTICLE VII
INDEMNIFICATION; INSURANCE

7.1 Indemnification of Trustees and Officers. In accordance with Section 721 of the New York Not-For-Profit Corporation Law, the School shall, to the fullest extent permitted, and in the manner prescribed, by Sections 721, 722, 723 and 725 of the New York Not-For-Profit Corporation Law, as amended from time to time, indemnify any person who is or was made, or threatened to be made, a party to any action or proceeding, whether civil or criminal, whether involving any actual or alleged breach of duty, neglect or error, any accountability, or any actual or alleged misstatement, misleading statement or other act or omission and whether brought or threatened in any court or administrative or legislative body or agency, including an action by or in the right of the School to procure a judgment in its favor and an action by or in the right of any other corporation of any type or kind, domestic or

foreign, or any partnership, joint venture, trust, employee benefit plan or other enterprise, which any Trustee or officer of the School is serving or served in any capacity at the request of the School, by reason of the fact that he, his testator or intestate, is or was a Trustee or officer of the School, or is serving or served such other corporation, partnership, joint venture, trust, employee benefit plan or other enterprise in any capacity, against judgments, fines, amounts paid in settlement, and expenses (including, without limitation, attorneys' fees, costs and charges) incurred as a result of such action or proceeding, or appeal therein. The School shall reimburse or advance to any person referred to in this section the funds necessary for payment of expenses (including, without limitation, attorneys' fees, costs and charges) incurred in connection with any action or proceeding referred to in this section to the fullest extent permitted by New York Not-For-Profit Corporation Law Sections 721, 722, 723 and 725.

7.2 Insurance. In accordance with Section 726 of the New York Not-For-Profit Corporation Law, the School shall prescribe and maintain insurance to indemnify Trustees and officers of the School, on any terms and conditions set forth in a resolution of the Board of Trustees.

ARTICLE VIII BOOKS AND RECORDS

8.1. Where Books Are to Be Kept. Correct and complete books and records of account and minutes of the proceedings of the Board of Trustees and the Executive Committee shall be kept at the School.

ARTICLE IX FISCAL YEAR

9.1. Fiscal Year. The fiscal year of the School shall begin on July 1 and shall end on June 30 in each year.

ARTICLE X CORPORATE SEAL

10.1. Corporate Seal. The Board of Trustees may adopt a Corporate Seal, alter such seal at its pleasure and authorize it to be used by causing a facsimile to be affixed or impressed or reproduced in any other manner.

ARTICLE XI OFFICE

11.1. Office. The office of the School shall be located in New York City at such address as may from time to time be fixed by the Board of Trustees.

ARTICLE XII AMENDMENTS

12.1 Amendments. These By-Laws or any one or more of the provisions thereof may, at any annual, regular or special meeting of the Board of Trustees, be amended by changing, altering, suspending, supplementing or repealing the same; provided, however, that no By-Law by which more than a majority vote shall be required for any specified action by the Board of Trustees shall be

amended, changed, altered, suspended, supplemented or repealed by a smaller vote than that required for action thereunder.

ARTICLE XIII
OTHER TRUSTEE POWERS

13.1 Appointment of Principal(s). The Board of Trustees may appoint and remove by majority vote of the entire Board, and determine the terms and conditions of employment of, a Principal whose principal responsibilities include education-related matters ("Principal"). This section 13.1 is subject to the terms of any other contracts entered into by the School.

13.2 Removal of Employees other than the Principal. The employees of the School, other than the Principal, shall report to the Principal, as determined from time to time by the Board of Trustees. The Board of Trustees shall have the power to remove teachers and other staff members by vote of the Trustees then in office, subject to the provisions of any applicable collective bargaining agreement or other contracts entered into by the School.

13.3 No Limitation. The enumeration of certain miscellaneous powers in this Article XIII shall not be construed as a limitation on any powers of the Board of Trustees.

R-13d – By-Laws

This response is incorporated by reference.

R-13e – Code of Ethics

This response is incorporated by reference.

University Prep Charter High School Code of Ethics

All Trustees, officers and employees of University Prep Charter High School are expected to behave at the highest level of professional standards and ethics. The following code of conduct applies to Trustees, officers or employees as specified:

- The Board of Trustees (the “Board”) shall conduct its affairs subject to the Charter Schools Act, applicable provisions of the Education Law, provisions of the Not-For-Profit Corporation Law made applicable to education corporations by section 216-a of the Education Law and federal law and regulations related to the School’s I.R.C. 501(c)(3) status, as well as the school’s charter and by-laws and other applicable provisions of law and regulations. The Board may delegate aspects of the management of the activities of the school to others, so long as the affairs of the school are managed, and its powers are exercised, under the Board’s ultimate jurisdiction.
- Trustees shall avoid at all times engaging in activities that would appear to be unduly influenced by other persons who have a special interest in matters under consideration by the Board. If a Trustee inadvertently engages in such activities, such Trustee shall promptly notify the Board in writing of such activities and shall disclose all known facts prior to participating in a Board discussion of these matters.
- Trustees shall make full disclosures whenever there may be a conflict of interest with respect to a matter under discussion or consideration by the Board.
- Trustees shall not acquire or receive any gift for their personal use from someone doing business with the school.
- Trustees, officers and employees cannot have an interest in any for-profit contract with the school.
- Trustees, officers, and employees must disclose contracts with not-for-profit entities, such as charter management organizations, and partners and founding organizations.
- Trustees, officers and employees may work on political campaigns on non-school time. However, Trustees, officers or employees never may ask a subordinate, a student or a parent/guardian of a student to work on or give to any political campaign.
- Trustees, officers and employees owe their loyalty to the school. Therefore, they may not communicate with the school on behalf of a person or a firm unless such communication is part of their official duties for the school.

- Trustees, officers and employees may not use confidential school information for a non-school purpose or disclose it to a private person or a firm for non-school purposes.
- Trustees, officers and employees may not have a financial relationship with supervisors or subordinates outside their employment relationship with the school and the Board.
- Trustees, officers and employees may not act in connection with any lawsuit or administrative hearing as a lawyer or an expert for a private interest if the school interest is involved.
- Trustees, officers, and employees will abide by General Municipal Law section 805-a which states that no trustee, officer or employee shall:
 - Directly or indirectly, solicit any gift, or accept or receive any gift having a value of seventy-five dollars or more, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence him, or could reasonably be expected to influence him, in the performance of his official duties or was intended as a reward for any official action on his part;
 - Disclose confidential information acquired by him in the course of his official duties or use such information to further his personal interests;
 - Receive, or enter into any agreement, express or implied, for compensation for services to be rendered in relation to any matter before any municipal agency of which he is an officer, member or employee or of any municipal agency over which he has jurisdiction or to which he has the power to appoint any member, officer or employee; or
 - Receive, or enter into any agreement, express or implied, for compensation for services to be rendered in relation to any matter before any agency of his municipality, whereby his compensation is to be dependent or contingent upon any action by such agency with respect to such matter, provided that this paragraph shall not prohibit the fixing at any time of fees based upon the reasonable value of the services rendered.
- Trustees, officers and employees must abide by section 803 of the General Municipal Law which states, "Any officer or employee who has, will have, or later acquires an interest in—or whose spouse has, will have, or later acquires an interest in—any actual or proposed contract, purchase agreement, lease agreement or other agreement, including oral agreements, with the municipality of which he or she is an officer or employee, shall publicly disclose the nature and extent of such interest in writing to his or her immediate supervisor and to the governing body thereof as soon as he or she has knowledge of such actual or prospective interest. Such written disclosure shall be made part of and set forth in the official record of the proceedings of such body." Any such trustee, officer or employee who shall knowingly and intentionally violate any of the provisions of this code may be suspended or removed from office.

- The Board, or a board of ethics, which it may establish, shall render advisory opinions to Trustees, officers and employees with respect to the code of ethics.

This Code of Ethics will be distributed to all employees upon hiring by the school and to all officers and Trustees upon appointment to the Board, and each such person will be required to abide by this Code. If amendments are made to the Code of Ethics, all employees, officers and Trustees shall receive an updated copy. Time will be allotted at an appropriate Board and staff meeting to explain the Code. The School Leader shall serve as the compliance officer to ensure compliance with the Code of Ethics; one Trustee (with no affiliation with the school's partner organization) shall be appointed to oversee the Principal in this role.

University Prep Charter Middle School
R-13f – Complaint Policy

The Complaint Policy for the education corporation shall be as follows:

Any individual or group may submit complaints to the Board of Trustees of University Prep Public Schools governing University Prep Charter High School and University Prep Charter Middle School. Nothing in the following procedure for addressing complaints precludes an individual or group from submitting a complaint directly to the Board of Trustees.

Complaints should be submitted in writing to the Principal. The Principal of UPCHS is located on the fourth floor of 600 St. Ann’s Avenue Bronx, N.Y. 10455. The Principal of UPCMS will be located at the primary office of the school. The location is to be determined. In the interim, complaints may be made at the offices of UPCHS.

Upon receipt of the complaint, the Principal will respond in writing or in person within ten business days. If this does not resolve the complaint, or if the complaint pertains to the Principal, then the individual or group may submit the complaint, in writing, to the Secretary of the Board of Trustees.

You may address your letter to the following

individual: Burton Sacks, Trustee
University Prep Charter High School
205 East 42nd Street, 11th Floor
New York, NY 10017

If the complaint is submitted to the Board of Trustees five business days prior to a regularly scheduled Board meeting, the complaint will be addressed at that Board meeting. If the complaint is submitted fewer than five business days before a regularly scheduled Board meeting, the complaint will be addressed at the next regularly scheduled meeting of the Board of Trustees. Emergency issues will be dealt with on an as-needed basis, with the Board responding at or prior to its next regularly scheduled meeting. The Board of Trustees shall render a determination in writing if appropriate or required.

The names of Trustees, including the Secretary of the Board, as well as the dates of regularly scheduled Board meetings will be prominently posted at the school.

In accordance with Education Law § 2855(4), if after presentation of such a complaint to the Board of Trustees, the individual or group believes that the Board has not adequately addressed the complaint, that individual or group may present the complaint to the School’s charter entity, the State University of New York Board of Trustees through the SUNY Charter Schools Institute (or “The Institute”), which shall investigate and respond appropriately.

The Institute advises:

SCHOOL POLICY

Review School Policy. Subdivision 2855(4) of the New York Education Law, which is part of the NY Charter Schools Act of 1998, provides a parent, as well as any other individual or entity (such as a contractor or school district) who believes that a charter school has violated a term of its charter or applicable law related to the management or operation of the charter school, with an opportunity to complain formally to the charter school education corporation's board of trustees and seek relief. The charter school education corporation is the legal entity that operates the school and may operate more than one school.

A copy of the school's complaint policy must be distributed to the parents and/or guardians of students and made readily available to all others requesting a copy. If you are unable to locate a copy, please request the complaint policy from the school's main office. The school's complaint policy should tell you the person or entity that will receive your written complaint. For more information regarding complaints please review the Institute's guidance document on the subject.

INFORMAL COMPLAINTS

Informal complaints, such as problems with assigned teacher or classes, and issues with grades, promotion, and retention. They do not involve violations of law or charter. Therefore, **the Institute does not handle such complaints**. Instead, they are handled at the school level. Please review and follow the school's Complaint Policy to address any informal complaint.

FORMAL COMPLAINTS

Step 1: Formal Complaints – School Level. A formal complaint involves an alleged violation of law and/or charter. Please review and follow the school's Complaint Policy which will instruct you how to file a complaint, in writing, directly to the charter school education corporation board or a person or entity the education corporation board has designated to handle complaints.

Step 2: Formal Complaints – Appeal to SUNY. If the school board of trustees does not satisfactorily address the issue, you may appeal the decision, in writing, to the Institute. You must have a written copy of the school decision on your complaint. Please complete the SUNY Formal Complaint Form and email to charters@suny.edu or mail it to the Institute at: 353 Broadway, Albany, NY 12246. If you have questions about the SUNY formal complaint appeals process, you may leave a message at (518) 445-4275 and an Institute staff member will return your call.

Step 3: Formal Complaints – Appeal to Board of Regents. If the Institute as the authorizer of the school does not satisfactorily resolve a formal complaint, you can appeal the Institute's written determination to the New York State Board of Regents through the New York State

University Prep Charter Middle School
R-13f – Complaint Policy

Education Department ((518) 474-3852). Please or by submit written appeals by mail to the address listed below.

Charter Schools Office/Room #5N EB Mezzanine 89 Washington Avenue, Albany, NY 12234

If, after presentation of the complaint to the Institute, the individual or group determines that it has not adequately addressed the complaint, they may present the complaint to the Board of Regents through the State Education Department, which shall investigate and respond. The SUNY Board of Trustees and the Board of Regents shall have the power and the duty to issue appropriate remedial orders to the Board of Trustees of the Charter School under their jurisdiction to effectuate the provisions applicable under Education Law.

Contact information for the SUNY Charter Schools Institute and the State Education Department will be prominently posted at the school.

University Prep Charter Middle School
R-14 – District Relations

Overview

The education corporation operates the University Prep Charter High School in our target district of location, New York City Community School District 7 in the South Bronx. The trustees and leadership of UPCHS have established strong relationships with the district over several years since the inception of the charter. As one of the few unionized charter schools in New York City and the nation, we continue to seek out and celebrate opportunities for collaboration with the district. UPCHS is co-located within an NYCDOE facility at 600 St. Ann’s Avenue.

Across the district, and within close proximity to our location, there are a number of underperforming elementary and middle schools.

School Name	School Number	Location (Public (co- location school numbers) or Private)	2017 Middle School Grades (Enr.)	2017 ELA Proficiency	2017 Math Proficiency	Feeder School (Elem or High)
American Dream Charter School	84X471	Public 07X030	6-8 (242)	34	30	High
The Laboratory School of Finance and Tech	07X223	Public 07X221	6-8 (302)	41	40	High
Academy of Applied Math and Technology	07X343	Public 07X224 07X334	6-8 (302)	38	31	
South Bronx Prep: A College Board School	07X221	Public 07X223	6-8 (281)	30	19	High
Hostos Lincoln Academy (Focus School)	07X500	Public 75X010 84X393	6-8 (175)	32	16	High
South Bronx Academy for Applied Media (Priority School)	07X296	Public 07X379 75X017	6-8 (296)	18	9	
South Bronx Early College Academy Charter School	84X492	Private (new)	6-7 (226)	10	6	Planned H.S.
Academy of Public Relations	07X298	Public 07X296 07X379 75X017	6-8 (256)	13	7	
Urban Assembly Bronx Academy of Letters (Focus School)	07X551	Public 75X168 84X493)	6-8 (251)	16	4	High
PS/IS 224 (Focus School)	07X224	Public 07X334 07X343	6-8 (389)	11	4	

University Prep Charter Middle School
R-14 – District Relations

School Name	School Number	Location (Public (co- location school numbers) or Private)	2017 Middle School Grades (Enr.)	2017 ELA Proficiency	2017 Math Proficiency	Feeder School (Elem or High)
JHS 151 Lou Gehrig	07X151	Public 07X031 84X704	6-8 (245)	11	4	
JHS 162 Lola Rodriguez de Tio (Closed)	07X162	Public	6-8 (380)	10	3	
PS/IS 5	07X005	Public	5-8 (326)	18	14	
M.S. 584 (Newly opened in 2017-2018)	07X584	Public 84X393 75X010	6-8 (365)	N/A	N/A	

The performance levels for University Prep Charter Middle School remain unknown at this point. Therefore, a body of specific offerings to district schools could be premature ahead of some tangible results. Nonetheless, we believe that our Key Design Elements, derived as they are from University Prep Charter High School provide a strong point of departure for collaboration with district schools.

In particular, our *administrator – staff collaboration* emphasizing Faculty Voice has structured supports beyond the Collective Bargaining Agreement. We have worked diligently to establish a resource-rich culture of trust, reliability and accountability. Teachers know that administrators are accessible and diligent about the work of improving student achievement. UPCHS is staffed with a principal and two APs for instruction who work almost exclusively on instructional decision-making. Our layers of instructional leadership offer new and struggling teachers added guidance on classroom management, lesson planning, differentiation, reteaching difficult content, progress monitoring, and data analysis. We believe our teams may be of service in this regard.

Targeting Schools

Based on the location of the education corporation, optimal collaborations may be established with schools such as the newly-opened I.S. 584 (also housed at 600 St. Ann’s Avenue), or I.S. 5. While distance is not an insurmountable hurdle, we welcome the opportunity to provide meaningful support based on refined and effective practices within University Prep Charter Middle School.

A second opportunity for targeting high-leverage organizations within the district may be at the elementary school level. It has been the experience of the UPCHS team that students often enroll while reading at only the 5th and 6th grade level. Our district of location may benefit from structured engagements on building literacy wherein our middle school team offers resources to elementary schools.

We anticipate opening up a rich dialogue with our district peers at the middle school (or perhaps elementary school level) to prepare students for academic excellence; and, to prepare teachers to build literacy and ownership of the learning process in students.

University Prep Charter Middle School
R-15abd – Student Demand

Response 15 (a) – General Student Population

To assess the viability of establishing a middle school based on the University Prep model, we conducted a comprehensive market analysis of the district. Our analysis reviewed demographic trends, performance of the existing portfolio, prospects for a change in supply of seats within the district, and the programmatic options available to parents within the district. We anticipate strong demand for all middle school seats in Community School District 7 over the next five years. The demographic trend in the district seen in the charts below is also reflected across the borough and in neighboring districts 8 and 9.

Application data may suggest there is strong demand for additional high-quality middle school seats in CSD 7. While single and multiple school application numbers are not disaggregated, indications are that demand (applicants per seat) skewed toward six schools (*highlighted bold numbers*).

School Name	School Number	Enrollment	General Education Applicants	General Education Seats	Special Education Applicants	Special Education Seats
American Dream Charter School	84X471	242	N/A	125	N/A	N/A
The Laboratory School of Finance and Tech (Spanish Dual Language Program)	07X223M	302	315	22	67	8
The Laboratory School of Finance and Tech	07X223U		682	45	169	15
Academy of Applied Math and Technology	07X343	302	447	75	115	25
South Bronx Prep: A College Board School	07X221	281	450	68	116	22
Hostos Lincoln Academy (Focus School)	07X500	175	433	58	100	20
South Bronx Academy for Applied Media (Priority School)	07X296	296	234	90	58	30
South Bronx Early College Academy Charter School	84X492	226	631	110	N/A	N/A
Academy of Public Relations (Spanish Bilingual Program)	07X298M	256	77	22	16	8
Academy of Public Relations	07X298U		197	56	56	19
Urban Assembly Bronx Academy of Letters (Focus School)	07X551	251	271	64	61	21
Science School for Exploration and Discovery PS/IS 224 (Focus School)	07X224	389	368	75	92	25
JHS 151 Lou Gehrig	07X151	245	133	75	33	25
PS/IS 5	07X005	248	181	68	44	22
I.S. 584 (Spanish Dual Language Program)	07X584M	365	23	N/A	7	N/A

University Prep Charter Middle School
R-15abd – Student Demand

School Name	School Number	Enrollment	General Education Applicants	General Education Seats	Special Education Applicants	Special Education Seats
I.S. 584 (STEAM Program)	07X584U		68	N/A	22	N/A

Anecdotal evidence suggests that American Dream Charter School is also highly sought by families in the district based on their offering of a dual language program, college prep curriculum, academic achievement and a new high school. The projected number of available total seats in these six schools is 515. This number is insufficient to meet demand within the district. Moreover, in estimating cohort size (three-year average enrollment per grade), we note that CSD 7 enrollment is expected to increase in coming years.

Table 4: 2016-17 CSD 7 Enrollment by Middle School Grade

Grade	Enrollment
5	1215
6	1225
7	1130
8	1229

Source: New York State Education Department. <http://data.nysed.gov>

The enrollment table for prospective UPCMS students is as follows:

Table 5: 2016-17 CSD7 Enrollment by Selected Elementary Grade

Grade	Enrollment
Pre-K	1,414
K	1,161
1	1,316
2	1,333
3	1,245

Source: New York State Education Department. <http://data.nysed.gov>

On balance, UPCMS promises to provide an appealing alternative to the many parents within CSD 7 and surrounding districts seeking strong educational alternatives. Our empirical approach to evaluating demand is more compelling than the practice of gathering signatures. We know that there is strong support for our model based on the current enrollment and demand for seats at University Prep Charter High School. We also see strong evidence of heightened demand at high performing middle schools where there are few seats, and a long-term trend of demographic expansion. Taken together, these data points indicate demand (which includes students from within CSD 7 and across the Bronx) for University Prep Charter Middle School is likely to be robust and will significantly exceed our capacity.

Response 15 (b) – Target Population Enrollment

University Prep Charter Middle School will actively and consistently recruit from target populations to a level that meets or exceeds current district level enrollment. Based on The Institute’s enrollment and retention calculator, our targets are as follows:

University Prep Charter Middle School
R-15abd – Student Demand

Year 1 Enrollment and Retention Targets		
Student Category	Target Percentage	Target Number
Economically Disadvantaged	94.4	176
English Language Learners	20.8	39
Students with Disabilities	25.5	48

Year 5 Enrollment and Retention Targets		
Student Category	Target Percentage	Target Number
Economically Disadvantaged	94.2	466
English Language Learners	19.9	98
Students with Disabilities	25.0	124

Plans to Recruit and Retain Target Populations

The University Prep Charter Middle School plan to recruit and retain target populations begins with admissions preferences for those populations. The specific weighting is still to be determined. Admissions preferences send a strong signal to communities. We hope to encourage a high number of applications, and to exceed district targets for all target populations. We will inform the community of our admission preferences through a targeted marketing campaign to be featured in public spaces (particularly in mass transit locations) across the Bronx. Advertisements for the middle school program will be posted in English, Spanish and potentially in other high-user languages.

Our recruitment teams will attend Middle School fairs throughout the Bronx. The team will actively establish relationships with all Bronx elementary schools. The teams will encourage family liaisons to share information about the opportunity at UPCMS with students from targeted demographic groups. We will also conduct outreach to city agencies and community-based organizations. Team members will attend community meetings and request invitations to present to students, parents and families who are served by target agencies and CBO's, as appropriate. Middle school teams will also leverage existing relationships established by the high school operations teams.

Upon establishing benchmarks in Year 1 for recruitment, we will calibrate all aspects of our efforts in Year 2. Resetting our efforts the following year may entail changing the launch dates of our efforts, increasing the size of our team, changing progress monitoring and check-in schedules, establishing stronger tracking on liaisons at the elementary school or CBO, modifying our ad buys by quality, cost, or placement. There are a number of other related factors that may inform our analysis. We will use an empirical and anecdotal approach each year. For example, we will collect data from parents and families on how they first learned of the school, but we may also convene focus groups to delve deeper into the impact of our targeting.

To retain targeted student populations, we will continue to use the model established at UPCHS. We have a culture of high expectation and high support. Our administrators and teachers believe that all children can learn, and that effective schools meet students where they are, then provide rigorous instruction and support for the whole child. UPCHS routinely enrolls students who are several years behind their peers in reading. We anticipate and welcome similar challenges at UPCMS. Therefore, we will be working to establish connections (belonging and identity) through literacy and the acquisition of knowledge. Beyond

University Prep Charter Middle School
R-15abd – Student Demand

our academic focus, we will hire and deploy our special education teachers, instructional specialists, counselors, and coaches to support students. Our social support network will include a family liaison (preferably bilingual) with the capacity to direct and refer families to the essential resources they require within the school and throughout the community.

Response 15 (d) – Community Support

The education corporation has developed a community engagement strategy that is to proceed throughout the entire application process. The process includes outreach to stakeholders within our district of location, which include but is not limited to parents, community members, community-based organizations, the public school district, elected officials, community leaders and others. To date, we have issued a survey to current UPCHS parents on the scope of the proposed charter application. Support for the application was unanimous and provides insights for our Founding Team on building out UPCMS in a manner that will continue to meet the needs of the community.

The surveys (See Response 15(e)) indicate the following:

- Respondents agreed affirmatively with the statement, “Based on your experience with UPCHS, would you have wanted to attend (or send your child/family member) to a University Prep middle school if it had been an option?” (Rate: 100%)
- Respondents agreed affirmatively with the statement, “If University Prep opens a middle school in the near future, would you encourage family members and/or family friends to apply? (Rate: 89%)

Additional indicators of support for the school will be made available throughout July and August 2018 as the Founding Team convenes a series of meeting with stakeholders across the Bronx.

UPCMS Community Support Outreach Summer 2018		
Stakeholder Group	Topic	Date
Mott Haven Community Partnership Program	Charter Application and Key Design Elements	August 2018
Ruben Diaz, Jr.	Charter Application	August 2018
Jose E. Serrano	Charter Application	August 2018
Carmen Arroyo	Charter Application	July 2018
Michael Blake	Charter Application	July 2018
Rafael Salamanca	Charter Application	July 2018
Melissa Mark Viverito	Charter Application	July 2018
East Side House Settlement	Charter Application and Support Services Plan	August 2018
Fathers 4 Progress	Charter Application and Support Services Plan	August 2018
Per Scholas	Charter Application and Internship Opportunities	July 2018
SoBRO Youth Development Center	Charter Application and Community Engagement Strategy	August 2018

University Prep Charter Middle School
R-15abd – Student Demand

UPCMS Community Support Outreach Summer 2018		
Stakeholder Group	Topic	Date
Adolescent Skills Center – Mental Health Association of NYC	Charter Application, Referrals and Support Services Plan	July 2018
Roberto Clemente State Park Youthmarket	Charter Application and Key Design Elements	August 2018
BronxWorks	Charter Application, Student Support Services	July 2018
IMCR Dispute Resolution Center	Charter Application, Student Support Services	July 2018
Community School District 7	Charter School Application	June 2018

Outreach to each of these organizations is ongoing. As we continue to receive indications of where University Prep Charter Middle School can most beneficially locate itself within this “ecosystem” of child development entities, we will be seeking to build relationships. The purpose of building these relationships is to establish UPCMS as a school of choice for parents and families represented by various elected officials and supported by these agencies.

We anticipate that overall community support for our specific program will mirror the results so far obtained from the issuance of our initial survey.

University Prep Charter Middle School
R-15c – Evidence of Demand

The evidence of student demand for University Prep Charter Middle School is strong. High-performing middle schools within CSD 7 draw a high number of potential applicants. Two of those applicants drew over 600 applications in the last school year. One applicant, the South Bronx Academy for Applied Media drew 631 applicants for 110 seats in a school with a total enrollment of 226 students. This past year, University Prep Charter High School drew over 600 applicants for approximately 120 seats in grades 9 through 12.

The Founding Team infers that University Prep has established a brand that is widely known in District 7. The brand is distinguished for college prep instruction and academic rigor. Our current waiting list, as well as our recent charter renewal by The Institute demonstrate the viability of our model and demand for it within CSD 7 and neighboring districts. In addition, our market analysis of CSD 7 indicates enrollments for middle school grades will be increasing over the next 5 to 7 years.

The Founding Team has not yet issued petitions for signature from parents of children who would be eligible to enroll in grades 5 and 6 beginning in 2019-2020. We have conducted focus group meetings with parents at UPCHS to solicit feedback on the application, the key design elements, and the proposed grade configuration. In those discussions held during Spring 2018, parents stated their interest in and preference for a model that begins in grade 5 and offered them a head start on finding a stable middle school environment through to grade 9. Moreover, in previous years, parents have asked administrators about expanding UPCHS to serve middle school grades.

We believe that the long-term academic success of UPCHS bodes well for UPCMS and is a compelling proxy of quality to parents.

University Prep Charter Middle School
R-15e – Evidence of Support

The following pages contain completed surveys in response to questions about the launch of UPCMS, and direct inquiries regarding support. The surveys contain 25+ items and offer insights into our theory of action and what makes our college prep model so effective.

The evidence contained herein is limited, however, it may be viewed in the larger context of increasing demand for seats based on higher overall enrollment in CSD 7; high demand for seats at UPCHS (600 applications for approximately 120 seats).

We are continuing our outreach to Bronx-based stakeholders which include elected officials, community-based organizations and city agencies. We will be conducting ongoing meetings on particular aspects of the proposed charter as well to gather insights on how best to serve our target populations.

University Prep Charter Middle School
R-15e – Evidence of Support

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We are continuing our outreach to Bronx-based stakeholders which include elected officials, community-based organizations and city agencies. We will be conducting ongoing meetings on particular aspects of the proposed charter as well to gather insights on how best to serve our target populations.

May 23, 2018

Dear UPCHS Families:

University Prep Charter High School is excited to announce that we are seeking to expand our college-bound mission through the addition of a grade 5-8 middle school—UP Middle. UPCHS is currently in the process of completing an application to New York State for this expansion—and, if approved, the middle school will open in the fall of 2019.

Over the past ten years, University Prep has worked to develop and sustain a dynamic and collaborative community that puts students on the path to a college of their choice. **Last year, the school had a 98% graduation rate, a 100% college acceptance rate, and a 98% parent approval rating. In 2016, the school was named a National Blue Ribbon School—nationally recognized for overall academic excellence and progress in closing achievement gaps among students.** Teachers choose to teach—and stay—at the school because true collaboration and continual growth are encouraged and facilitated through a model of distributed leadership.

With UP Middle, we want to expand the number of students who can benefit from a University Prep education—by extending the time they spend with us to include their middle school years. The core of UP Middle's work will be to prepare students to discuss big ideas, to defend their own and others' opinions, and to find joy in reading.

To achieve this, we'll be taking approaches that have served us well in high school and applying them to the middle school—while adding features that help emerging adolescents learn best. At the core of UP Middle:

- **Reading and Literacy in Every Class:** the school will emphasize the central role of reading and writing in every class, and students will focus on common themes and topics across classes.
- **Parental Investment:** parents will play an important role in reading with their children every night, meeting regularly with teachers and the principal; and verifying that homework is completed.
- **College Focus from the Jump:** students will take a Grade 8 college readiness course that focuses on skills to prepare students for gaining entrance to and excelling in a college of their choice.
- **Electives that Promote Self-Direction:** students will choose from Robotics, Visual Arts, Chess, Journalism, Debate, Instrumental Music, Vocal Music, Dance, Theater Arts, and Computer Science.
- **City Studies and Field Work:** students will work together on semester-long grade-wide capstone projects that connect classroom work to real-world experience.
- **Summer Bridge:** students will start fifth and sixth grade at UP Middle with a summer prep program.

Students will also benefit from **focused and supportive counseling in every grade; a one-to-one Chromebook program; a mentor-focused partnership with Big Brothers and Big Sisters of New York;** and **an emphasis on teacher voice and agency—a core founding value of University Prep Charter High School.**



600 St. Ann's Avenue
Bronx, New York 10455
T 718.292.6543
F 929.220.8110
www.upchs.org

The current University Prep Charter High School team operates one of the top high schools in New York. We're confident that—with your input and support—we can help more students in Community School District 7 benefit at an earlier age from an outstanding education.

But building a new school community is a truly collaborative effort. To this end, we'll be hosting an informational and listening session with current UPCHS community members on Monday, June 4th at 5:30pm. We invite you to come and share your ideas with us about what you'd like to see in a prospective UP Middle.

Also, we'd appreciate it if you could take the time to give us some feedback about the school proposal by completing a brief survey. You can take the survey online at:

www.upchs.org/contact_school/university_prep_middle_school

or you can respond by completing the printed version attached to this letter and returning it to Ms. Serrano in the main office. You're welcome to include your name or answer the questions anonymously.

Thank you for your feedback and your continued support. Please do not hesitate to reach out to me if you have any questions. I look forward to seeing you and listening to your ideas about this exciting news in the coming weeks.

Sincerely,

A handwritten signature in black ink that reads 'AdAmato'.

Andrea d'Amato
Principal, UPCHS

Encuesta de Comunidad de UPCHS

Nosotros esperamos extender nuestra comunidad abriendo una escuela intermedia. Con su aportación y apoyo podemos ayudar a más estudiantes en el Distrito Escolar de la Comunidad 7 a una edad más temprana beneficiarse de una excelente educación. Por favor proporciónenos con algunos comentarios (debajo) sobre su experiencia con UPCHS para ayudarnos en el proceso de planificación.



**University
Prep**
CHARTER HIGH SCHOOL

1. Yo soy un . . .

Marque solo un ovalo.

estudiante en UPCHS

padre/tutor/pariente de un estudiante de UPCHS

Otro

2. Su primer nombre y apellido (opcional)

3. Yo (o mi hijo/pariente) estoy/esta recientemente en el ____ grado en UPCHS. . .

Marque solo un ovalo.

9

10

11

12

4. **¿Basado en su experiencia con UPCHS, hubiera querido usted asistir (o enviar su hijo/a/pariente) a una escuela intermedia de University Prep si hubiera sido una opción?**

Marque solo un ovalo.

- Definitivamente
 Probablemente
 Probablemente no
 No

5. **Por favor escriba una oración o dos explicando su opción para la pregunta anterior.**

6. **¿Tiene un niño a quién sería elegible inscribirse en grado 5 o grado 6 en el otoño de 2019?**

Marque solo un ovalo.

- Sí
 No

7. **Si es así, solicitaría para admisión a una escuela intermedia de University Prep para su niño?**

Marque solo un ovalo.

- Definitivamente
 Probablemente
 Probablemente no
 No
 N/A – no aplica

8. **Si University Prep abre una escuela intermedia en un futuro cercano, apoyarían que familiares y/o amistades de la familia a solicitar?**

Marque solo un ovalo.

- Definitivamente
 Probablemente
 Probablemente no
 No

9. ¿Cuál de las siguientes clases en UPCHS han requerido que tú (o su hijo/a) escriba un documento, ensayo, o informe? Marque todas las que apliquen.

Marque todas las que apliquen.

- Inglés
- Estudio Sociales / Historia / Gobierno / Economía
- Ciencia
- Matemáticas
- Optativa / Otro

10. ¿Cómo calificaría su (o el de su hijo/a) crecimiento general como escritor como resultado de las clases de UPCHS?

Marque solo un ovalo.

1 2 3 4 5

Habilidades de escritura son casi igual

Mucho crecimiento

11. ¿Cuál de las siguientes clases en UPCHS han requerido que usted (o su hijo/a) pase tiempo leyendo fuera del aula de clases? Marque todas las que apliquen.

Marque todas las que apliquen.

- Inglés
- Estudio Sociales / Historia / Gobierno / Economía
- Ciencia
- Matemáticas
- Optativa / Otro

12. ¿En cuál de las siguientes clases en UPCHS ha pasado usted (o su hijo/a) tiempo en clase leyendo con la orientación del maestro/a? Marque todas las que apliquen.

Marque todas las que apliquen.

- Inglés
- Estudio Sociales / Historia / Gobierno / Economía
- Ciencia
- Matemáticas
- Optativa / Otro

13. ¿Cómo calificaría su (o el de su hijo/a) crecimiento general como LECTOR como resultado de las clases en UPCHS?

Marque solo un ovalo.

1 2 3 4 5

Habilidades de lectura son casi igual

Mucho crecimiento

14. ¿Cuál de las siguientes clases en UPCHS han requerido que usted (o su hijo/a) que ambos hablen y escuchen? Marque todas las que apliquen.

Marque todas las que apliquen.

Inglés

Estudios Sociales / Historia / Gobierno / Economía

Ciencia

Matemáticas

Optativa / Otra

15. ¿Cuál de las siguientes clases en UPCHS han requerido que usted (o su hijo/a) de una presentación oral? Marque todas las opciones que apliquen.

Marque todas las que apliquen.

Inglés

Estudios Sociales / Historia / Gobierno / Economía

Ciencia

Matemáticas

Optativa / Otra

16. ¿Cómo calificaría su (o el de su hijo/a) crecimiento general como ORADOR y OYENTE como resultado de las clases en UPCHS?

Marque solo un ovalo.

1 2 3 4 5

aproximadamente iguales

crecimiento

17. ¿Qué tan bien provee UPCHS oportunidades para interacciones sociales y vínculos entre los estudiantes?

Marque solo un ovalo.

1 2 3 4 5

Muy poca oportunidad para interacción social y vinculación

Muchas oportunidades para interacción social y vinculación

18. ¿Siente usted (o su hijo/a) que recibe suficiente atención individual del personal en UPCHS?

Marque solo un ovalo.

1 2 3 4 5

Poca atención individual

Mucha atención individual

19. **¿Qué tan preparado se siente usted (o su hijo/a) sobre navegar el proceso de solicitud para la Universidad como resultado del apoyo de UPCHS en este ámbito?**
Marque solo un ovalo.

1 2 3 4 5

No preparado

X

Muy preparado

Continúe a la próxima página.

20. Diga algo sobre su (o de su hijo/a) habilidad de tomar decisiones o autodirigir como resultado de aprender y practica en UPCHS.

Ha aprendido mucho especialmente por su participation en PGL.

21. Enumere cualquier curso optativo, club, o viaje que usted (o su hijo/a) ha participado en:

22. ¿En cualquier punto usted (o su hijo/a) ha recibido servicios de consejería ofrecidos en UPCHS?

Marque solo un ovalo.

- Sí, y he beneficiado
 Sí, pero no fue útil
 Nunca he tenido experiencia con servicios de consejería

23. ¿Qué es lo que más disfruta sobre UPCHS?

Todos los diferentes actividades que tiene

24. ¿Qué es lo que menos disfruta sobre UPCHS?

qué tan estricto es el código de vestimenta

25. ¿Qué consejo o información les daría a potenciales estudiantes del futuro de la escuela intermedia?

que "asegúrate de estar al tanto de todas tus clases."

26. En general, ¿qué es lo que más va a recordar sobre UPCHS?

Voy a recordar cuánto trabajo la escuela puso para asegurar las vidas de los estudiantes.

27. ¿Apoya usted a University Prep en nuestra intención de expandir a una escuela intermedia?

Marque solo un ovalo.

Sí, definitivamente

Un poco

No

28. Si hay algo más que usted quiere añadir, por favor dígalo aquí.

UPCHS Community Survey

We are hoping to extend our community by opening a middle school. With your input and support we can help more students in Community School District 7 at an earlier age benefit from an outstanding education. Please provide us with some feedback (below) about your experience with UPCHS to help us in the planning process.



**University
Prep**
CHARTER HIGH SCHOOL

1. I am a ...

Mark only one oval.

- student at UPCHS
- parent/guardian/family member of a UPCHS student
- Other

2. Your first and last name (optional)

Natasha Johnson

3. I (or my child/family member) is currently in grade ____ at UPCHS...

Mark only one oval.

- 9
- 10
- 11
- 12

4. Based on your experience with UPCHS, would you have wanted to attend (or send your child/family member) to a University Prep middle school if it had been an option?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No

5. Please write a sentence or two to explain your choice for the question above.

UPCHS Community
is very respect
and shows a
great deal of
interest in your child
learning.

6. Do you have a child who would be eligible to enroll in grade 5 or grade 6 in the Fall of 2019?

Mark only one oval.

- Yes
 No

7. If so, would you apply for admission to a University Prep middle school for your child?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No
 N/A – not applicable

8. If University Prep opens a middle school in the near future, would you encourage family members and/or family friends to apply?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No

9. Which of the following classes at UPCHS have required you (or your child) to write papers, essays, or reports? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

10. How would you rate your (or your child's) overall growth as a WRITER as a result of the classes at UPCHS?

Mark only one oval.

- 1 2 3 4 5
- Writing skills are about the same A lot of growth

11. Which of the following classes at UPCHS have required you (or your child) to spend time READING OUTSIDE OF THE CLASSROOM ? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

12. In which of the following classes at UPCHS have you (or your child) spent time IN CLASS READING WITH THE TEACHER'S GUIDANCE? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

13. How would you rate your (or your child's) overall growth as a READER as a result of the classes at UPCHS?

Mark only one oval.

- 1 2 3 4 5
- Reading skills are about the same A lot of growth

14. Which of the following classes at UPCHS have required you (or your child) to both SPEAK and LISTEN? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

15. Which of the following classes at UPCHS have required you (or your child) to give an oral presentation? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

16. How would you rate your (or your child's) overall growth as a SPEAKER & LISTENER as a result of the classes at UPCHS?

Mark only one oval.

1 2 3 4 5

↑ ↓ ← →

Very little growth same growth

17. How well does UPCHS provide opportunities for social interaction and bonding between students?

Mark only one oval.

1 2 3 4 5

Very little opportunities for social interaction & bonding A great deal of opportunities for social interaction & bonding

18. Do you feel as though you (or your child) receives sufficient individual attention from the staff at UPCHS?

Mark only one oval.

1 2 3 4 5

Insufficient individual attention Plenty of individual attention

UPCHS Community Survey

We are hoping to extend our community by opening a middle school. With your input and support we can help more students in Community School District 7 at an earlier age benefit from an outstanding education. Please provide us with some feedback (below) about your experience with UPCHS to help us in the planning process.



**University
Prep**
CHARTER HIGH SCHOOL

1. I am a ...

Mark only one oval.

- student at UPCHS
- parent/guardian/family member of a UPCHS student
- Other

2. Your first and last name (optional)

[Redacted name field]

3. I (or my child/family member) is currently in grade _____ at UPCHS. . .

Mark only one oval.

- 9
- 10
- 11
- 12

4. Based on your experience with UPCHS, would you have wanted to attend (or send your child/family member) to a University Prep middle school if it had been an option?

Mark only one oval.

- Definitely
- Probably
- Probably not
- No

5. Please write a sentence or two to explain your choice for the question above.

6. Do you have a child who would be eligible to enroll in grade 5 or grade 6 in the Fall of 2019?

Mark only one oval.

- Yes
- No

7. If so, would you apply for admission to a University Prep middle school for your child?

Mark only one oval.

- Definitely
- Probably
- Probably not
- No
- N/A – not applicable

8. If University Prep opens a middle school in the near future, would you encourage family members and/or family friends to apply?

Mark only one oval.

- Definitely
- Probably
- Probably not
- No

9. Which of the following classes at UPCHS have required you (or your child) to write papers, essays, or reports? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

10. How would you rate your (or your child's) overall growth as a WRITER as a result of the classes at UPCHS?

Mark only one oval.

1 2 3 4 5

Writing skills are about the same

A lot of growth

11. Which of the following classes at UPCHS have required you (or your child) to spend time READING OUTSIDE OF THE CLASSROOM ? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

12. In which of the following classes at UPCHS have you (or your child) spent time IN CLASS READING WITH THE TEACHER'S GUIDANCE? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

13. How would you rate your (or your child's) overall growth as a READER as a result of the classes at UPCHS?

Mark only one oval.

1 2 3 4 5

Reading skills are about the same

A lot of growth

19. How prepared do you (or does your child) feel about navigating the college application process as a result of UPCHS support in this area?

Mark only one oval.

	1	2	3	4	5	
Not prepared	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	Very prepared

Go to next page.

20. Say something about your (or your child's) ability to make choices or self-direct as a result of their learning and practice at UPCHS.

Be a leader and not a follower

21. List any electives, clubs, or trips you (or your child) has participated in:

Overnight college trip
Coding Club
Boys Club

22. Have you (or your child) received counseling services offered at UPCHS at any point?
[optional]

Mark only one oval.

- Yes, and benefited
 Yes, but it wasn't helpful
 Never experienced counseling services

23. What do you MOST ENJOY about UPCHS?

The realism and feeling of belonging to something bigger.

24. What do you LEAST ENJOY about UPCHS?

How we are separated by grade levels.

25. What advice or information would you give to potential future Upper Middle School students?

Don't worry if you reach
they'll grab you.

26. What will you remember most about UPCHS in general?

The love and respect I got
from the staff.

27. Do you support University Prep in our intention to expand to middleschool?

Mark only one oval.



Yes, definitely

Somewhat

No

28. If there's anything else you want to add, please say it here.

UPCHS Community Survey

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**University
Prep**
CHARTER HIGH SCHOOL

1. I am a . . .

Mark only one oval.

- student at UPCHS
- parent/guardian/family member of a UPCHS student
- Other

2. Your first and last name (optional)

Ines Lopez

3. I (or my child/family member) is currently in grade _____ at UPCHS. . .

Mark only one oval.

- 9
- 10
- 11
- 12

4. Based on your experience with UPCHS, would you have wanted to attend (or send your child/family member) to a University Prep middle school if it had been an option?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No

5. Please write a sentence or two to explain your choice for the question above.

It is an excellent school.

6. Do you have a child who would be eligible to enroll in grade 5 or grade 6 in the Fall of 2019?

Mark only one oval.

- Yes
 No

7. If so, would you apply for admission to a University Prep middle school for your child?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No
 N/A – not applicable

8. If University Prep opens a middle school in the near future, would you encourage family members and/or family friends to apply?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No

9. Which of the following classes at UPCHS have required you (or your child) to write papers, essays, or reports? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

10. How would you rate your (or your child's) overall growth as a WRITER as a result of the classes at UPCHS?

Mark only one oval.

1 2 3 4 5

Writing skills are about the same



A lot of growth

11. Which of the following classes at UPCHS have required you (or your child) to spend time READING OUTSIDE OF THE CLASSROOM ? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

12. In which of the following classes at UPCHS have you (or your child) spent time IN CLASS READING WITH THE TEACHER'S GUIDANCE? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

13. How would you rate your (or your child's) overall growth as a READER as a result of the classes at UPCHS?

Mark only one oval.

1 2 3 4 5

Reading skills are about the same



A lot of growth

14. Which of the following classes at UPCHS have required you (or your child) to both SPEAK and LISTEN? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

15. Which of the following classes at UPCHS have required you (or your child) to give an oral presentation? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

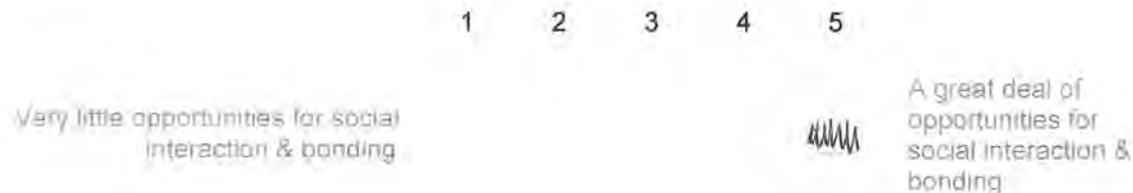
16. How would you rate your (or your child's) overall growth as a SPEAKER & LISTENER as a result of the classes at UPCHS?

Mark only one oval.



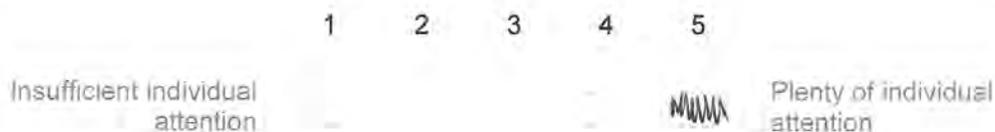
17. How well does UPCHS provide opportunities for social interaction and bonding between students?

Mark only one oval.



18. Do you feel as though you (or your child) receives sufficient individual attention from the staff at UPCHS?

Mark only one oval.



19. How prepared do you (or does your child) feel about navigating the college application process as a result of UPCHS support in this area?

Mark only one oval.

	1	2	3	4	5
Not prepared			<input checked="" type="radio"/>		Very prepared.

Go to next page.

20. Say something about your (or your child's) ability to make choices or self-direct as a result of their learning and practice at UPCHS.

He knows how to make decisions.

21. List any electives, clubs, or trips you (or your child) has participated in:

Mercy College
Music

22. Have you (or your child) received counseling services offered at UPCHS at any point?
[optional]

Mark only one oval.

- Yes, and benefited
- Yes, but it wasn't helpful
- Never experienced counseling services

23. What do you MOST ENJOY about UPCHS?

I enjoy the staff and how helpful they are.

24. What do you LEAST ENJOY about UPCHS?

The school is dirty (bathroom)

25. What advice or information would you give to potential future Upper Middle School students?

I would tell them to study and work hard.

26. What will you remember most about UPCHS in general?

The teachers are very nice and helpful.

27. Do you support University Prep in our intention to expand to middle school?

Mark only one oval.

Yes, definitely

Somewhat

No

28. If there's anything else you want to add, please say it here.

UPCHS Community Survey

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**University
Prep**
CHARTER HIGH SCHOOL

1. I am a . . .

Mark only one oval.

- student at UPCHS
 parent/guardian/family member of a UPCHS student
 Other

2. Your first and last name (optional)

Yadira Hernández

3. I (or my child/family member) is currently in grade 9 at UPCHS. . .

Mark only one oval.

- 9
 10
 11
 12

4. Based on your experience with UPCHS, would you have wanted to attend (or send your child/family member) to a University Prep middle school if it had been an option?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No

5. Please write a sentence or two to explain your choice for the question above.

The school, the staff
help by one amazing
and the environment
is safe

6. Do you have a child who would be eligible to enroll in grade 5 or grade 6 in the Fall of 2019?

Mark only one oval.

- Yes
 No

7. If so, would you apply for admission to a University Prep middle school for your child?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No
 N/A – not applicable

8. If University Prep opens a middle school in the near future, would you encourage family members and/or family friends to apply?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No

9. Which of the following classes at UPCHS have required you (or your child) to write papers, essays, or reports? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

10. How would you rate your (or your child's) overall growth as a WRITER as a result of the classes at UPCHS?

Mark only one oval.

1 2 3 4 5

Writing skills are about the same A lot of growth

11. Which of the following classes at UPCHS have required you (or your child) to spend time READING OUTSIDE OF THE CLASSROOM ? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

12. In which of the following classes at UPCHS have you (or your child) spent time IN CLASS READING WITH THE TEACHER'S GUIDANCE? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

13. How would you rate your (or your child's) overall growth as a READER as a result of the classes at UPCHS?

Mark only one oval.

1 2 3 4 5

Reading skills are about the same A lot of growth

14. Which of the following classes at UPCHS have required you (or your child) to both SPEAK and LISTEN? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

15. Which of the following classes at UPCHS have required you (or your child) to give an oral presentation? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

16. How would you rate your (or your child's) overall growth as a SPEAKER & LISTENER as a result of the classes at UPCHS?

Mark only one oval.

1 2 3 4 5

opportunity for speaking and listening skills same growth

17. How well does UPCHS provide opportunities for social interaction and bonding between students?

Mark only one oval.

1 2 3 4 5

Very little opportunities for social interaction & bonding A great deal of opportunities for social interaction & bonding

18. Do you feel as though you (or your child) receives sufficient individual attention from the staff at UPCHS?

Mark only one oval.

1 2 3 4 5

Insufficient individual attention Plenty of individual attention

19. How prepared do you (or does your child) feel about navigating the college application process as a result of UPCHS support in this area?

Mark only one oval.

	1	2	3	4	5	
Not prepared	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	Very prepared

Go to next page.

UPCHS Community Survey

We are hoping to extend our community by opening a middle school. With your input and support we can help more students in Community School District 7 at an earlier age benefit from an outstanding education. Please provide us with some feedback (below) about your experience with UPCHS to help us in the planning process.



**University
Prep**
CHARTER HIGH SCHOOL

1. I am a . . .

Mark only one oval.

- student at UPCHS
- parent/guardian/family member of a UPCHS student
- Other

2. Your first and last name (optional)



3. I (or my child/family member) is currently in grade _____ at UPCHS. . .

Mark only one oval.

- 9
- 10
- 11
- 12

4. Based on your experience with UPCHS, would you have wanted to attend (or send your child/family member) to a University Prep middle school if it had been an option?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No

5. Please write a sentence or two to explain your choice for the question above.

The school is very
welcoming and allows
us to become better
as well as help us

6. Do you have a child who would be eligible to enroll in grade 5 or grade 6 in the Fall of 2019?

Mark only one oval.

- Yes
 No

7. If so, would you apply for admission to a University Prep middle school for your child?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No
 N/A – not applicable

8. If University Prep opens a middle school in the near future, would you encourage family members and/or family friends to apply?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No

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Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

10. How would you rate your (or your child's) overall growth as a WRITER as a result of the classes at UPCHS?

Mark only one oval.

1 2 3 4 5
Writing skills are about the same A lot of growth

11. Which of the following classes at UPCHS have required you (or your child) to spend time READING OUTSIDE OF THE CLASSROOM? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

12. In which of the following classes at UPCHS have you (or your child) spent time IN CLASS READING WITH THE TEACHER'S GUIDANCE? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

13. How would you rate your (or your child's) overall growth as a READER as a result of the classes at UPCHS?

Mark only one oval.

1 2 3 4 5
Reading skills are about the same A lot of growth

14. Which of the following classes at UPCHS have required you (or your child) to both SPEAK and LISTEN? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

15. Which of the following classes at UPCHS have required you (or your child) to give an oral presentation? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

16. How would you rate your (or your child's) overall growth as a SPEAKER & LISTENER as a result of the classes at UPCHS?

Mark only one oval.

1 2 3 4 5

same growth

17. How well does UPCHS provide opportunities for social interaction and bonding between students?

Mark only one oval.

1 2 3 4 5

Very little opportunities for social interaction & bonding A great deal of opportunities for social interaction & bonding

18. Do you feel as though you (or your child) receives sufficient individual attention from the staff at UPCHS?

Mark only one oval.

1 2 3 4 5

Insufficient individual attention Plenty of individual attention

19. How prepared do you (or does your child) feel about navigating the college application process as a result of UPCHS support in this area?

Mark only one oval.

	1	2	3	4	5	
Not prepared	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	Very prepared

Go to next page.

20. Say something about your (or your child's) ability to make choices or self-direct as a result of their learning and practice at UPCHS.

UPCHS allowed me to
interact with people
I was very anti-social
but my teachers gave
me that push

21. List any electives, clubs, or trips you (or your child) has participated in:

Choose your own adventure
College trips.

22. Have you (or your child) received counseling services offered at UPCHS at any point?
[optional]

Mark only ~~one~~ oval.

- Yes, and benefited
 Yes, but it wasn't helpful
 Never experienced counseling services

23. What do you MOST ENJOY about UPCHS?

The environment
and the bond our
peers have with
one another.

24. What do you LEAST ENJOY about UPCHS?

The 95-85 minute
classes

25. What advice or information would you give to potential future Upper Middle School students?

Come to school prepared
With a positive attitude
On time and everyday
also in full uniform.

26. What will you remember most about UPCHS in general?

The school community
and the positive
vibes.

27. Do you support University Prep in our intention to expand to middle school?

Mark only one oval.

Yes, definitely

Somewhat

No

28. If there's anything else you want to add, please say it here.

Encuesta de Comunidad de UPCHS

Nosotros esperamos extender nuestra comunidad abriendo una escuela intermedia. Con su aportación y apoyo podemos ayudar a más estudiantes en el Distrito Escolar de la Comunidad 7 a una edad más temprana beneficiarse de una excelente educación. Por favor proporciónenos con algunos comentarios (debajo) sobre su experiencia con UPCHS para ayudarnos en el proceso de planificación.



**University
Prep**
CHARTER HIGH SCHOOL

1. Yo soy un...

Marque solo un ovalo.

- estudiante en UPCHS
 padre/tutor/pariente de un estudiante de UPCHS
 Otro

2. Su primer nombre y apellido (opcional)

Liliana Reyes

3. Yo (o mi hijo/pariente) estoy/esta recientemente en el _____ grado en UPCHS. . .

Marque solo un ovalo.

- 9
 10
 11
 12

4. ¿Basado en su experiencia con UPCHS, hubiera querido usted asistir (o enviar su hijo/a/pariente) a una escuela intermedia de University Prep si hubiera sido una opción?

Marque solo un ovalo.

- Definitivamente
 Probablemente
 Probablemente no
 No

5. Por favor escriba una oración o dos explicando su opción para la pregunta anterior.

Para poder llevarlos
a una sola escuela
a los 3 niños.

6. ¿Tiene un niño a quién sería elegible inscribirse en grado 5 o grado 6 en el otoño de 2019?

Marque solo un ovalo.

- Sí
 No

7. Si es así, solicitaría para admisión a una escuela intermedia de University Prep para su niño?

Marque solo un ovalo.

- Definitivamente
 Probablemente
 Probablemente no
 No
 N/A – no aplica

8. Si University Prep abre una escuela intermedia en un futuro cercano, apoyarían que familiares y/o amistades de la familia a solicitar?

Marque solo un ovalo.

- Definitivamente
 Probablemente
 Probablemente no
 No

9. ¿Cuál de las siguientes clases en UPCHS han requerido que tú (o su hijo/a) escriba un documento, ensayo, o informe? Marque todas las que apliquen.

Marque todas las que apliquen.

- Inglés
- Estudio Sociales / Historia / Gobierno / Economía
- Ciencia
- Matemáticas
- Optativa / Otro

10. ¿Cómo calificaría su (o el de su hijo/a) crecimiento general como escritor como resultado de las clases de UPCHS?

Marque solo un ovalo.

1 2 3 4 5

Habilidades de escritura son casi igual



Mucho crecimiento

11. ¿Cuál de las siguientes clases en UPCHS han requerido que usted (o su hijo/a) pase tiempo leyendo fuera del aula de clases? Marque todas las que apliquen.

Marque todas las que apliquen.

- Inglés
- Estudio Sociales / Historia / Gobierno / Economía
- Ciencia
- Matemáticas
- Optativa / Otro

12. ¿En cuál de las siguientes clases en UPCHS ha pasado usted (o su hijo/a) tiempo en clase leyendo con la orientación del maestro/a? Marque todas las que apliquen.

Marque todas las que apliquen.

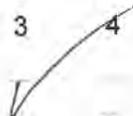
- Inglés
- Estudio Sociales / Historia / Gobierno / Economía
- Ciencia
- Matemáticas
- Optativa / Otro

13. ¿Cómo calificaría su (o el de su hijo/a) crecimiento general como LECTOR como resultado de las clases en UPCHS?

Marque solo un ovalo.

1 2 3 4 5

Habilidades de lectura son casi igual



Mucha crecimiento

14. ¿Cuál de las siguientes clases en UPCHS han requerido que usted (o su hijo/a) que ambos hablen y escuchen? Marque todas las que apliquen.

Marque todas las que apliquen.

- Inglés
- Estudios Sociales / Historia / Gobierno / Economía
- Ciencia
- Matemáticas
- Optativa / Otra

15. ¿Cuál de las siguientes clases en UPCHS han requerido que usted (o su hijo/a) de una presentación oral? Marque todas las opciones que apliquen.

Marque todas las que apliquen.

- Inglés
- Estudios Sociales / Historia / Gobierno / Economía
- Ciencia
- Matemáticas
- Optativa / Otra

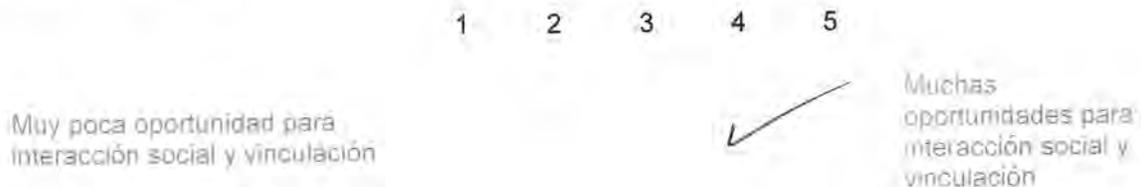
16. ¿Cómo calificaría su (o el de su hijo/a) crecimiento general como ORADOR y OYENTE como resultado de las clases en UPCHS?

Marque solo un óvalo.



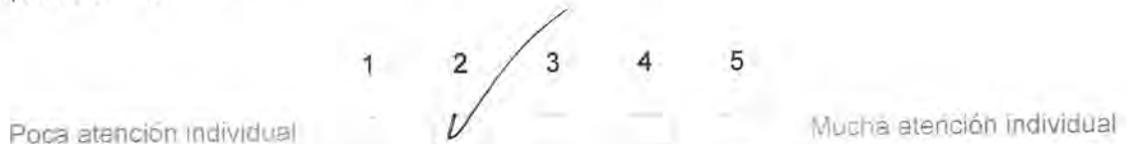
17. ¿Qué tan bien provee UPCHS oportunidades para interacciones sociales y vínculos entre los estudiantes?

Marque solo un óvalo.



18. ¿Siente usted (o su hijo/a) que recibe suficiente atención individual del personal en UPCHS?

Marque solo un óvalo.



19. **¿Qué tan preparado se siente usted (o su hijo/a) sobre navegar el proceso de solicitud para la Universidad como resultado del apoyo de UPCHS en este ámbito?**

Marque solo un ovalo.

	1	2	3	4	5	
No preparado			<input checked="" type="radio"/>			Muy preparado

Continúe a la próxima página.

20. Diga algo sobre su (o de su hijo/a) habilidad de tomar decisiones o autodirigir como resultado de aprender y practica en UPCHS.

Que los motivaan,
Las Reglas Los
Preparan para la
Univesidad.

21. Enumere cualquier curso optativo, club, o viaje que usted (o su hijo/a) ha participado en:

Viajes a los museos
beisbol futbol
Boy club

22. ¿En cualquier punto usted (o su hijo/a) ha recibido servicios de consejería ofrecidos en UPCHS?

Marque solo un ovalo.

- Sí, y he beneficiado
 Sí, pero no fue útil
 Nunca he tenido experiencia con servicios de consejería

23. ¿Qué es lo que más disfruta sobre UPCHS?

La motivación
Las Reglas de la Escuela
La Comunicación con los padres.

24. ¿Qué es lo que menos disfruta sobre UPCHS?

25. ¿Qué consejo o información les daría a potenciales estudiantes del futuro de la escuela intermedia?

Que estudien porque son el futuro porque en el tiempo que estamos se necesita mucho estudio para tener un buen trabajo.

26. En general, ¿qué es lo que más va a recordar sobre UPCHS?

Que mi hijo aprendió mucho. Aprendió a respetar reglas usar un uniforme.

27. ¿Apoya usted a University Prep en nuestra intención de expandir a una escuela intermedia?

Marque solo un ovalo.

Sí, definitivamente

Un poco

No

28. Si hay algo más que usted quiere añadir, por favor dígalo aquí.

Le agradezco a University Prep porque le abrió las puertas a mi hijo y le ha enseñado mucho.

UPCHS Community Survey

We are hoping to extend our community by opening a middle school. With your input and support we can help more students in Community School District 7 at an earlier age benefit from an outstanding education. Please provide us with some feedback (below) about your experience with UPCHS to help us in the planning process.



**University
Prep**
CHARTER HIGH SCHOOL

1. I am a . . .

Mark only one oval.

- student at UPCHS
- parent/guardian/family member of a UPCHS student
- Other

2. Your first and last name (optional)

3. I (or my child/family member) is currently in grade _____ at UPCHS. . .

Mark only one oval.

- 9
- 10
- 11
- 12

4. Based on your experience with UPCHS, would you have wanted to attend (or send your child/family member) to a University Prep middle school if it had been an option?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No

5. Please write a sentence or two to explain your choice for the question above.

The School has potential
to train Middle Schoolers
to be able to find themselves

6. Do you have a child who would be eligible to enroll in grade 5 or grade 6 in the Fall of 2019?

Mark only one oval.

- Yes
 No

7. If so, would you apply for admission to a University Prep middle school for your child?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No
 N/A – not applicable

8. If University Prep opens a middle school in the near future, would you encourage family members and/or family friends to apply?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No

9. Which of the following classes at UPCHS have required you (or your child) to write papers, essays, or reports? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

10. How would you rate your (or your child's) overall growth as a WRITER as a result of the classes at UPCHS?

Mark only one oval.

1 2 3 4 5

Writing skills are about the same A lot of growth

11. Which of the following classes at UPCHS have required you (or your child) to spend time READING OUTSIDE OF THE CLASSROOM? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

12. In which of the following classes at UPCHS have you (or your child) spent time IN CLASS READING WITH THE TEACHER'S GUIDANCE? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
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Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

15. Which of the following classes at UPCHS have required you (or your child) to give an oral presentation? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

16. How would you rate your (or your child's) overall growth as a SPEAKER & LISTENER as a result of the classes at UPCHS?

Mark only one oval.



17. How well does UPCHS provide opportunities for social interaction and bonding between students?

Mark only one oval.



18. Do you feel as though you (or your child) receives sufficient individual attention from the staff at UPCHS?

Mark only one oval.



19. How prepared do you (or does your child) feel about navigating the college application process as a result of UPCHS support in this area?

Mark only one oval.

	1	2	3	4	5	
Not prepared	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	Very prepared

Go to next page.

20. Say something about your (or your child's) ability to make choices or self-direct as a result of their learning and practice at UPCHS.

N/A

21. List any electives, clubs, or trips you (or your child) has participated in:

Girls Club
Coding Club

22. Have you (or your child) received counseling services offered at UPCHS at any point?
[optional]

Mark only one oval.

- Yes, and benefited
- Yes, but it wasn't helpful
- Never experienced counseling services

23. What do you MOST ENJOY about UPCHS?

Dress Code
College Guidance

24. What do you LEAST ENJOY about UPCHS?

N/A

25. What advice or information would you give to potential future Upper Middle School students?

Be prepared for
preparing for your
future

26. What will you remember most about UPCHS in general?

Receiving blue
ribbon award!

27. Do you support University Prep in our intention to expand to middle school?

Mark only one oval.

Yes, definitely

Somewhat

No

28. If there's anything else you want to add, please say it here.

UPCHS Community Survey

We are hoping to extend our community by opening a middle school. With your input and support we can help more students in Community School District 7 at an earlier age benefit from an outstanding education. Please provide us with some feedback (below) about your experience with UPCHS to help us in the planning process.



**University
Prep**
CHARTER HIGH SCHOOL

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- student at UPCHS
- parent/guardian/family member of a UPCHS student
- Other

2. Your first and last name (optional)

3. I (or my child/family member) is currently in grade ____ at UPCHS. . .

Mark only one oval.

- 9
- 10
- 11
- 12

4. Based on your experience with UPCHS, would you have wanted to attend (or send your child/family member) to a University Prep middle school if it had been an option?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No

5. Please write a sentence or two to explain your choice for the question above.

UPCHS help their students not only to grow academically but also personally. They offer students with tools necessary to become independent members of our society.

6. Do you have a child who would be eligible to enroll in grade 5 or grade 6 in the Fall of 2019?

Mark only one oval.

- Yes
 No

7. If so, would you apply for admission to a University Prep middle school for your child?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No
 N/A – not applicable

8. If University Prep opens a middle school in the near future, would you encourage family members and/or family friends to apply?

Mark only one oval.

- Definitely
 Probably
 Probably not
 No

9. Which of the following classes at UPCHS have required you (or your child) to write papers, essays, or reports? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

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Mark only one oval.

1 2 3 4 5

Writing skills are about the same



A lot of growth

11. Which of the following classes at UPCHS have required you (or your child) to spend time READING OUTSIDE OF THE CLASSROOM? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
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12. In which of the following classes at UPCHS have you (or your child) spent time IN CLASS READING WITH THE TEACHER'S GUIDANCE? Check all that apply.

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Mark only one oval.

1 2 3 4 5

Reading skills are about the same



A lot of growth

14. Which of the following classes at UPCHS have required you (or your child) to both SPEAK and LISTEN? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

15. Which of the following classes at UPCHS have required you (or your child) to give an oral presentation? Check all that apply.

Check all that apply.

- English
- Social Studies / History / Government / Economics
- Science
- Math
- Elective / Other

16. How would you rate your (or your child's) overall growth as a SPEAKER & LISTENER as a result of the classes at UPCHS?

Mark only one oval.



17. How well does UPCHS provide opportunities for social interaction and bonding between students?

Mark only one oval.



18. Do you feel as though you (or your child) receives sufficient individual attention from the staff at UPCHS?

Mark only one oval.



19. How prepared do you (or does your child) feel about navigating the college application process as a result of UPCHS support in this area?

Mark only one oval.

1 2 3 4 5

Not prepared



Very prepared

Go to next page.

20. Say something about your (or your child's) ability to make choices or self-direct as a result of their learning and practice at UPCHS.

He is looking forward to graduate UPCHS and go to a senior college.

21. List any electives, clubs, or trips you (or your child) has participated in:

Coding
Money talks
Mercy College (trip)
City College (trip)

22. Have you (or your child) received counseling services offered at UPCHS at any point?
[optional]

Mark only one oval.

- Yes, and benefited
 Yes, but it wasn't helpful
 Never experienced counseling services

23. What do you MOST ENJOY about UPCHS?

They treat students and parents as a family

24. What do you LEAST ENJOY about UPCHS?

N/A

25. What advice or information would you give to potential future Upper Middle School students?

listen to their advisors and teachers at UPC+HS they know what they doing

26. What will you remember most about UPCHS in general?

n/A

27. Do you support University Prep in our intention to expand to middle school?

Mark only one oval.

- Yes, definitely
 Somewhat
 No

28. If there's anything else you want to add, please say it here.

If I would have another child in middle school or high school I would definitely send them back in UPC+HS.

University Prep Charter Middle School
R-15f – Admissions Policy

Admissions Policy

The policies of University Prep Charter Middle School will adhere to the policies of University Prep Charter High School. University Prep Charter Middle School shall not discriminate in its admissions against any student based on race, ethnicity, national origin, gender, or disability or for any other basis that would be unlawful for a public school. The school shall be open to any child who is eligible under the laws of New York State for admission to a public school, and the school shall ensure compliance with all applicable anti-discrimination laws governing public schools, including Title VI of the Civil Rights Act and § 2854(2) of the New York Education Law. New students will be admitted each year without regard to prior measures of achievement or aptitude, athletic ability, disability, handicapped condition, ethnicity, race, creed, gender, national origin, religion, or ancestry.

Student Recruitment Activities

University Prep Charter Middle School will undertake a variety of activities to recruit student applicants. The activities may include but are not limited to the following:

- Posted flyers at local supermarkets, community centers, and apartment complexes
- Notices in local newspapers
- Notices to public middle schools (both charter- and district-operated), after-school programs and youth centers,
- Notices and presentations to local community-based organizations
- Elementary School Fairs in Community School Districts 7, 8, 9, 10 and 12
- Open house events

Application

Families interested in enrolling their child in the University Prep Charter Middle School must complete the school's enrollment application. The application is available at the school or upon request. The application is a simple, double-sided document that requests biographical and contact information. Translation assistance will be provided to those parents who do not speak English and a Spanish-language version of the application is available.

Applications for enrollment for the upcoming school year are due by April 1st.

Lottery

If the number of applicants exceeds enrollment capacity, a public random selection process (i.e. lottery), conducted by the school will be held after April 1st, on a date publicized to all applicants.

University Prep Charter Middle School
R-15f – Admissions Policy

In the event of the need for a lottery, admission preference shall be granted to applicants in the following manner:

1. First preference will be given to returning students of the University Prep Charter Middle School.
2. Second preference will be given to siblings of enrolled students. “Sibling” is defined as children who are related either by birth by means of the same father or mother or by legal adoption.
3. Third preference will be given to children of the school’s full-time employees and board members, limited to no more than 15% of the school’s total enrollment.
4. Fourth preference will be given to students who reside in the New York City Community School District in which the charter school is located.
5. Fifth preference will be given to students who reside inside and outside of New York City.

Waitlist

In the event that enrollment is determined via lottery, names will be drawn after all available spaces are filled in order to form a waiting list. This waiting list, sequenced in the order determined by the lottery, will be the only official document identifying the names of grade eligible students with applications to University Prep Charter Middle School pending acceptance when vacancies arise. The waiting list shall expire annually at the time of the admissions lottery for the subsequent school year.

Enrollment

All students accepted into University Prep Charter Middle School must complete the school’s enrollment process before the first day of school. The school will create numerous opportunities for parents/guardians to complete this process prior to the opening of school. The enrollment process includes the completion and returning of required paperwork as well as submission of evidence of adequate immunizations. Translation assistance will be provided to those parents who do not speak English.

Voluntary Withdrawal

As University Prep Charter Middle School is a public school of choice, families may withdraw their child from the school at any time. Withdrawal must be made in writing. The school will ensure the timely transfer of any necessary school records to the student’s new school. Parents can voluntarily withdraw after winning a seat in the lottery thereby indicating that they do not wish to enroll their child.

University Prep Charter Middle School
R-16ac – Facilities

(a) Facility Needs

University Prep Charter Middle School’s Founding Team will be seeking co-located public space within Community School District 7. The ideal location is within the building which currently houses University Prep Charter High School at 600 St. Ann’s Avenue in the Bronx. Alternative optimal locations are within walking distance to UPCHS and near our major transportation corridors along 149th Street to the South, Westchester Avenue to the North, Southern Boulevard to the East, and 3rd Avenue to our West.

Guidance for space allocations are provided by the New York City Department of Education Instructional Footprints¹. Our Year 1 academic program and enrollment projections call for two sections of students in grade 5, and four sections of students in grade 6. UPCMS will open with an enrollment of 184 students (60 in grade 5, 124 in grade 6). The DOE Footprint for middle school grades 6-8 establishes a “typical classroom” range of 500 – 750 square feet. Specialty classrooms (3) range in size from 500 to 1,300 square feet. Science classrooms range from 750 to 1,000 square feet. The recommended size for resource rooms is 240 to roughly 500 square feet. Student support services such as our guidance office, records room, parent coordinator, and similar supports are recommended from 750 to 1,875 square feet. We anticipate our team will require space equivalent to two classrooms in Years 1 through 3 within an NYC incubation space. Administrative Services generally require 1,250 to 2,625 square feet, according to the Footprint. We project out administrators will require space equivalent to between 3 and 3.5 classrooms for a general/main office, a shared office for the principal and another lead administrator; and, a third space for essential operations functions which may include a space for teacher collaboration or another function to be determined. UPCMS minimally requires approximately 10,000 square feet. Optimal spatial configurations above 13,000 feet will allow more space for students, faculty and administrators. Given our projected enrollment of 30 students per grade in grade 5 and 24 per grade in grade 6, our ideal scenario would provide additional space for our grade 5 students, as well as adequate space to comfortably meet the socio-emotional needs of all students.

Beginning in Year 2, we will continue to serve two classes of grade 5 students. We will also enroll 124 students each in grades 6 and 7, for a total of 308 within 10 sections (two in grade 5; four each in grades 6 and 7) schoolwide. We anticipate requiring 15 regular instructional classrooms. As noted previously, the classrooms may range in size from 500 to 750 square feet. Students are likely to require 3-4 specialty classrooms for subjects like art and music. These classrooms may range from 500 feet to 1,300 feet. We will also require two instructional spaces for science instruction: a lab and a traditional science classroom. Our resource room requires may increase by one classroom. A determination on meeting those needs will be made based on actual enrollment by students with disabilities and scheduling flexibility prioritized within our planning model. We anticipate comparable requirements for student support services and administrative services in Year 2. Overall, our increased demand for space in Year 2 may require an allocation of 17,500 to 22,000 square feet.

NYCDOE provides incubation space for up to three years for new charter schools that have obtained firm agreements for commercial space, or have commitments from developers to identify space prior to the signing of a Memorandum of Understanding that will govern co-location terms, including the date for

¹ NYC Department of Education. *Instructional Footprints*. December 2015. Available online at: http://schools.nyc.gov/NR/rdonlyres/4B3CDB70-5FCD-4DA5-82E0-6F83761B3D12/192842/DOEFootprint_December_2017.pdf

University Prep Charter Middle School
R-16ac – Facilities

vacating the NYCDOE facility. In the event that permanent space within an NYCDOE facility is unavailable in CSD 7 or in a neighboring district that allows us to effectively serve our target population and retain our institutional culture, we will continue to work with non-profit sector developers such as Civic Builders to establish agreements prior to the close of NYCDOE's determination period. In planning for Year 3 and beyond, we note our projected enrollment increases from 308 in Year 2 to 462 in Years 3 and 4. At this point, we will have effectively reached full enrollment (93 percent). We will be seeking a space that will fully support our academic program for 496 students. We also note that the UPCHS model is attractive to students, parents and families residing in CSD 7 and throughout the Bronx. Approved for 385 students, we currently enroll 430 students. We do believe the UPCMS model will be comparably compelling to our community. Our ideal instructional space would allow us to comfortably serve our projected enrollment, and meet any surplus demands from the community while operating within the limitations of our charter.

With 93 percent enrollment beginning in Year 3, we project the Middle School will require approximately 25,000 square feet. In Years 3 and 4, we will add a single section to grade 5 (3 total for each school year). In adding these sections, we believe our requirements for typical classrooms will increase by 2. In expanding from 308 to 462 students, we will add student support services personnel and will require additional space to continue to meet the socio-emotional development needs of students. An additional half or full classroom may be added in Year 3.

Finally, A space of this size would not be ideal for our Year 5 configuration wherein we propose to add a fourth section of students to grade 5. At full enrollment, we project a space need of no less than 27,000 square feet. In future years, the board may contemplate establishing a space sufficient to meet the needs of a consolidated middle and high school for University Prep Public Schools. Under such a scenario, a single site would serve 928 students and minimally require a facility of 52,000 square feet.

Under co-location, we envision all UPCMS students using common facilities such as playgrounds, ball fields, cafeteria, gymnasium, library and other spaces in a manner that is functional identical to all schools in the building, and mutually agreed upon by all parties to the shared space agreement. In the event we are unable to obtain public space and either rent or lease commercial space, we will develop plans for the use of instructional, recreational and co-curricular spaces. Our plans will establish procedures, budgets and timelines for the construction of the cafeteria, gym, library, science lab, computer/technology lab, storage rooms, etc.

(b) Facility Selection

The target district of location for University Prep Charter Middle School is New York City Community School District 7 in the South Bronx. In anticipation of the approval process required by the New York City Buildings Department, we will identify a developer with whom to partner. The trustees of the education corporation met with representatives of Civic Builders on June 8, 2018 to discuss the design of UPCMS. The developer and several of our trustees are familiar with all phases of the process required to obtain an appropriate and Final Certificate of Occupancy (CO). No existing commercial facilities have been identified for lease or purchase. The purpose of the conversation was to open a conversation about the suite of alternatives available for Years 1 through 3. As we await the determination on space by NYCDOE, we will continue conversations on siting the middle school in 2019 and under various scenarios which may require relocation, renovation or expansion of a facility over the course of the charter term.

University Prep Charter Middle School
R-16ac – Facilities

The NYC Department of Buildings issues the Final CO “when completed construction work matches the submitted plans for new buildings or major alterations. Separately [the Department] issues a Letter of Completion for minor alterations. Having one of the documents confirms that the construction work complies with all applicable laws, the necessary paperwork has been completed, any fees owed to us have been paid, all violations have been resolved, and [the applicant] has submitted all approvals from other City agencies.”² Our Founding Team and trustees recognize that circumstances may arise wherein our facility may be safe to occupy, but still inadequately prepared to obtain a CO. If granted a Temporary Certificate of Occupancy (TCO), usually for a duration of 90 days, we will make all efforts to resolve all issues required by the Department of Buildings. We further acknowledge the education corporation may be required to obtain the services of a New York State licensed Professional Engineer or a Registered Architect to resolve outstanding matters. Our team will communicate directly with the Authorizer regarding the ongoing status of the TCO, maintenance of facility insurance, and zoning status. We will work closely with our development team to meet the requirements of the Authorizer and the Department of Buildings. Note: In the event that UPCMS is located in a private facility constructed before 1938, we will not be required to obtain a Certificate of Occupancy, except in cases of major alterations to use, exits or occupancy.

Financial projections for the proposed charter school were developed under the assumption that public space will **not** be provided by the New York City Department of Education. Our budgets, fiscal plan, and action plan all assume that UPCMS will open in Fall 2019 in commercial available space. Further, we assume the space will be leased for the duration of the first charter term. We do assume funding support from NYCDOE. A fundamental component of our efforts to obtain a viable commercial space is the legislation mandating facility support for schools denied co-location space. According to the New York City Charter School Center, rental assistance will be provided for eligible schools at “the lesser of 30% of the per pupil funding allocation or actual total rent costs.” Based on our Year 1 per pupil allocation estimate of \$15,527 per student, we project receiving formula rental assistance below a maximum of \$4,658.10 per student. For Year 1, our projected enrollment is 184 students. The NYCDOE Facilities Access Process funding will be sufficient to meet our needs in each year of the proposed charter term.

Maximum Facility Rental Assistance by NYCDOE For University Prep Charter Middle School			
Year	Enrollment	Rent Expense Per Pupil	Maximum Support
2019-2020	184	\$4,658.10	\$857,090.40
2020-2021	308	\$4,658.10	\$1,434,694.80
2021-2022	462	\$4,658.10	\$2,152,042.20
2022-2023	462	\$4,658.10	\$2,152,042.20
2023-2024	496	\$4,658.10	\$2,310,417.60

Source: New York City Charter Center. “Facilities Access Guide: New York City Charter Schools.” Dated 8.1.2017. Available online: <http://www.nyccharterschools.org/sites/default/files/resources/Facilities-Access-Guide-for-NYC-Charter-Schools.pdf>

² Department of Buildings Guide To: Certificate of Occupancy. Available online at: https://www1.nyc.gov/assets/buildings/pdf/cofo_guide.pdf

University Prep Charter Middle School
R-16ac – Facilities

If public space is available, our Founding Team will revise our financial projects and assumptions to reflect the establishment of a reserve fund to be used at the conclusion of the space agreement with NYCDOE. The revised budget will also reflect any start-up funds, philanthropic support, and inter-education corporation loans which may be used to finance the new facility arrangement. Our trustees notified NYCDOE of our intention to seek public space in June 2018. We have contacted the Office of District Planning, notifying them of our intent to seek space and complete the online questionnaire for facilities requests.³

As a follow up to our meeting with Civic Builders, our Founding Team will also initiate a preliminary analysis of the commercial real estate market in the South Bronx, particularly within CSD 7. The market analysis and our financing considerations will form the basis for our Contingency Plan submission to NYCDOE. The plan will include facility overviews, prices per square foot, space and lease features, alignment with the academic program, market rate prices for facilities of adequate size, structure, use and zoning. A foremost concern of our team is to establish a strong culture of teaching and learning at UPCMS within a stable operational environment. Ideally, UPCMS will find one home that is suitable and sustainable over the life of the charter. Relocation during a charter term poses an additional challenge to students, families and staff. The Founding Team will make every effort to facilitate smooth transitions.

(c) Facility Related Conflicts of Interest

The board of trustees of the education corporation is committed to a transparent, ethical and clear process for seeking space for UPCMS. To ensure this outcome, our by-laws and conflict of interest policies contain safeguards. The content of the by-laws and provisions align across UPCHS and were drafted in consultation with corporation counsel and in accordance with guidance issued by The Institute. The education corporation and both schools will be governed under a single code of ethics and conflicts of interest policy.

The board of trustees and Founding Team are developing action plans and drafting preliminary agreements based on templates reflecting our alignment with the New York State Charter School Law. In particular, our actions plans and agreements will ensure compliance with Section 2.2 and 2.5 of the Charter School Law. The board of the education corporation, University Prep Public Schools, Inc. will retain final authority for policy and operational decisions governing facilities. A sub-committee of the board may be established to expedite decision-making and planning. Trustees, however, share extensive experience in facilities development, real estate, finance and school operations. As such, we reserve the right to make determinations on the formation of a sub-committee as required by circumstances, board composition, the action plan, and performance oversight.

Our code of ethics bars trustees from establishing affiliations with any single entity wherein they might comprise more than 40 percent of the board. We further limit involvement with affiliated not-for-profit organizations to two (2) members. Our by-laws further require trustees to file annual disclosure reports of financial interest.

No trustees have conflicts of interest relating to the efforts of UPCMS to secure space within either an NYCDOE space or a private commercial space.

³ <https://www.surveygizmo.com/s3/3423071/Request-for-Charter-School-Co-Location-in-DOE-Facilities>

University Prep Charter Middle School
R-16d – Facilities Documents

The Founding Team for University Prep Charter Middle School has initiated conversations with the New York City Department of Education to request co-located space within Community School District 7 (Bronx, New York) or a surrounding district. Our team has also initiated conversations with Civic Builders, Inc., a New York City-based not-for-profit organization, to obtain financing and development support in the event that long-term co-location space and/or incubation space is unavailable through NYCDOE.

In the event that space is provided by the New York City Department of Education and approved by the Panel for Educational Policy, our Founding Team will provide The Institute with copies of our Draft and Fully Executed Memorandum of Understanding with NYCDOE. The MOU will state “terms of the co-location, including dates of the occupancy period and deadlines for vacating the premises (in cases of incubation), expectations for regular communication and engagement with NYCDOE, communities and any schools sharing a co-located facility.” Our Founding Team has shared co-located space for University Prep Charter High School at 600 St. Ann’s Avenue since inception, and is experienced with regard to the requirements and nuances of co-location. Our experience notwithstanding, our founding team will also commit to ensuring the new UPCMS team participates in technical assistance on matters that may include budgeting, real estate law, financing and operation procedures for district and private spaces, as per the requirements of the NYCDOE co-location agreement.

At this time, the Founding Team has no additional documents for consideration with the application to establish University Prep Charter Middle School. In addition to the aforementioned documents, the Founding Team will also provide the Institute with an architect’s confirmation on the suitability of the facility, blueprints, maps, estimates, written assurances, leases, evidence of deposits and other documentation as may be required should UPCMS be located in a commercial property.

University Prep Charter Middle School
R-17 – Food Services

As noted throughout the application, and particularly in Response R-16ac Facilities, UPCMS will seek co-located space provided by the New York City Department of Education. We will seek space for an incubation period up to three (3) years. In the event that space is provided by the New York City Department of Education, we will amend this section and our budget projections accordingly to reflect the terms of our agreement. In particular, this section and the budget will be revised to reflect our assumptions regarding participation in the New York City School Food and Nutrition Services program.

Our application does not assume, however, that space will be available or sufficient to meet our needs over the course of three years. Rather, we our budgeting, staffing, facilities and food services plans all reflect our planning to obtain private space for UPCMS. Further, we note that a facility solution for UPCMS may entail several possibilities, some of which may not be usefully discussed at this stage. The following description, then, assumes that we will operate in leased space for the duration of the first charter term in a facility suitable solely for UPCMS.

It shall be the policy of University Prep Charter Middle School to provide students with breakfast, lunch and a morning and afternoon snack. As a participating NYC School Food Program school (UPCHS), we recognize significant improvements made over the years to improve the choice, quality and efficiency of food services. Among the benefits of aligning UPCMS under NYCDOE are automatic enrollment in the federal Community Eligibility Provision (CEP)¹. Assuming our enrollment mirrors the district of location, we would qualify for services and benefit from the elimination of the mandate to collect eligibility forms for school meal programs from students and families.

Our instructional team strongly believes that academic success requires thoughtful and balanced nutrition throughout the day. To optimize student participation in the School Breakfast Program (SBP), we will also consider alternate breakfast models² at UPCMS. The “Grab and Go” Breakfast may be usefully incorporated into morning advisory meetings to provide incoming grade 5 and 6 students with additional support to prepare and stay on track throughout the day. In this model, students “grab” meals in the cafeteria and then eat during the first 10-15 minutes of an opening advisory session. Our principal, school operations manager, and cafeteria team (3 team members) will develop a logistical plan wherein teachers and students efficiently co-manage meal distribution, data collection and clean up each day. As part of our ongoing operations management and program oversight, our operations manager will provide training and support for the team on methods for program improvement. A research-based source for program development will include the national Food Research and Action Center. FRAC provides schools with comprehensive implementation assistance on improving student participation and efficient program design³. Training for the operations team will be conducted beginning in August 2019 and in regular (daily and as needed) and weekly meetings on site.

For a new school, this structure and its reduced administrative mandates can be tremendously advantageous. Still, there are tradeoffs. For example, the quality and range of meals will be narrower. Full meal services may not be provided on all days of our instructional calendar. Our extended day programs may not receive consistent and predictable support. We will have to create innovative solutions with limited time and presumably constrained budgets and personnel resources on occasion to ensure stability.

¹ <https://fns-prod.azureedge.net/sites/default/files/cn/CEPfactsheet.pdf>

² https://fns-prod.azureedge.net/sites/default/files/cn/cep_increasingbfast.pdf

³ http://frac.org/wp-content/uploads/how_it_works_bic_fact_sheet.pdf

University Prep Charter Middle School
R-17 – Food Services

While this degree of operational flexibility is a hallmark of young and nimble charter school operations, recurring events can strain planning and efficiency. Therefore, our Founding Team will review options for becoming a School Food Authority (SFA) within the privately-leased space for UPCMS. The New York City Charter Center identifies five essential benefits of becoming an SFA:

1. Increased control over meal program: budget, food quality and menu variety and choices
2. Latitude to opt into after school meal programs (snack or supper) and summer meal program
3. Eligible for state and USDA grants: for equipment, fruit & vegetables, gardens, breakfast program expansion
4. Freedom to choose from multiple food vendor options and service styles
5. Benefits of vendor partnerships on nutrition education, food tastings and promotional materials

These benefits do not emerge in isolation. Challenges can include the administrative burden of data collection and reporting (annual audits, monthly claims, site monitoring, staff training, and financial reporting). The Center recommends that SFA's hire a full-time Food Service Director. Our preliminary staffing plan includes three cafeteria personnel. One of whom could be hired as a Director to fully oversee and manage, in conjunction with the UPCMS operations manager, all aspects of the SFA program.

According to NYSED, nineteen (19) charter schools participated as SFAs across the state. Our Founding Team will engage participating schools, NYSED representatives, the Center, and national resource providers to develop a comprehensive cost-benefit analysis upon confirmation of a private space. We intend to convene these sessions as soon as possible, with the intent of drafting a plan and possible application to establish an SFA. Applications are due to NYSED by June 30, 2019, and will require considerable coordination. Our submission to NYSED will include our final facilities plan, Department of Health certifications, a detailed procurement process for vendor selection, a copy of an executed contract, the September 2019 menu with nutritional analysis, a school wellness policy, and certification of training completed by the Food Service Director.

Should we opt to establish an SFA, UPCMS will establish procedures to ensure compliance with all federal and state laws and regulations, including those governing "Buy American Provisions" in the National School Lunch Program⁴. UPCMS will also comply with requirements on competitive procurement and private grants as outlined in 7 CFR 220.16, and 225.17; and 7 CFR 3016.36 and 3019.40-48⁵. Regulations require the maintenance of a contract administration system guaranteeing contractors perform in accordance with the terms, conditions, and specifications of contracts and purchase orders. Regulations also establish contractual provisions for breach of contract, bid guarantees (five percent of the bid price), performance bonds, payment bonds, and similar covenants.

⁴ <https://fns-prod.azureedge.net/sites/default/files/cn/SP38-2017os.pdf>

⁵ <https://www.gpo.gov/fdsys/granule/CFR-2012-title7-vol15/CFR-2012-title7-vol15-sec3019-40>

University Prep Charter Middle School
R-18 – Health Services

The policy of University Prep Charter Middle School will follow those in place at University Prep Charter High School. Responsibility for oversight will be with the Superintendent, the UPCMS principal and the UPCMS operations manager. The UPCMS principal will report on health and safety matters each month to the Superintendent. The Superintendent will report directly to the board.

Health Service Policy

University Prep Charter Middle School will provide all health services as required by law. Pursuant to section 912 of the New York State Education Law, the school will look to the New York City Department of Health to provide a nurse to oversee the health services program and to ensure that the school complies with all state health services requirements, including those pertaining to immunization and diagnostic testing. The nurse will be responsible for disbursing medications, treating students who are ill or injured, training the staff in first aid and CPR, and maintaining student health records. The school nurse will also provide training to the staff regarding the blood borne diseases, often called, “Right to Know.”

Maintenance and Storage of Cumulative Health Records

University Prep Charter Middle School will store all health records for enrolled students. Cumulative student health records shall be held until the student is 27 years old. Immunization records will be held 10 years after the immunizations were administered. Student health records will be kept locked with limited access by the school nurse and custodian of records.

Immunization Requirements

Consistent with New York State law, University Prep Charter Middle School will ensure that each student has a certificate of immunization at the time of registration or not later than the first day of school. A review of student immunizations requirements and the proper supporting documents shall be completed for all new students. This review will determine if vaccination requirements are met for Diphtheria, Polio, Measles/Mumps/Rubella, Hepatitis B, and Varicella.

Before a child can be permitted to enter and attend school, parents/guardians must present documentation that their child has received all required doses of vaccines or that their child has received at least one dose of each of the required vaccines and is waiting to receive the subsequent doses at the appropriate time intervals. Families may waive immunization in accordance with Public Health Law and exceptions to immunizations shall be granted if a licensed physician or nurse practitioner certifies such immunization may be detrimental to the student’s health, or if the student’s parent or guardian holds genuine and sincere beliefs, which may include religious beliefs, contrary to such immunization.

Defibrillator

The school will have as many defibrillators and qualified personnel as required by the New York State Education Department regulations.

University Prep Charter Middle School
R-19 -- Transportation

The transportation services for University Prep Charter Middle School shall be provided by the district of residence. Supplemental transportation services will not be provided by the school. Students enrolled in grade 5 and grade 6 will be eligible for and receive services according to the specifications outlined by the New York City Department of Education Office of Pupil Transportation (OPT).¹

Pursuant to Chancellor's Regulation A-801, policies for subsidized travel established by OPT are based on grade level, home distance from school, and IEP status.² The Regulation further provides that "students who have been placed in temporary housing (homeless shelters, hotels, etc.) by public authorities are exempt from age and distance requirements for so long as they reside in that temporary housing. At any time that a student is placed in temporary housing a request for emergency transportation can be placed immediately with the Office of Pupil Transportation.

Our governing board operates with the belief that open communication with all stakeholders is essential to delivering high-quality services to students and families. To that end, we have maintained strong relationships with our host school and our district of location. To support parents in seeking timely transportation services, UPCMS will conduct our admissions lottery before April 1 annually. We will also provide the district with our academic schedule so that we can optimize opportunities for coordination throughout the year.

¹ <http://www.optnyc.org/resources/InformationforParentsandFamiliesGETransportation.pdf>

² <http://www.optnyc.org/ServicesAndEligibility/getransportation.htm>

University Prep Charter Middle School
R-20 – Insurance

University Prep Charter Middle School will maintain insurance coverages such as:

- General Liability
- Director’s and Officers’
- Umbrella Liability
- Student Accident
- Catastrophic Student Accident
- Worker’s Compensation
- Property
- Automobile
- Business Interruption
- Inland Marine

Insurance coverages for the education corporation will be established and maintained by the Superintendent, Assistant Principal for Operations, the UPCMS principal and UPCMS operations manager. Each spring, as part of the year-end review and preparation for the following year’s budget, this leadership group will convene to review the scope and amount of coverage.

The procedures for the annual review at UPCMS will align with those established for UPCHS. As expressed in our Financial Policies and Procedures Guide, “New policies will be executed by the Principal. The operations manager is responsible for procuring annual renewals with the School’s insurance broker at least one month in advance of a policy’s expiration. The operations manager maintains original copies of all insurance policies at the School.”

Any vendor (including Independent Consultants) doing business on School grounds (e.g. food service, construction, maintenance, etc.) or with School’s students (e.g. bus company) must carry adequate insurance that satisfies the School’s requirements and must issue a certificate of insurance that names the School as Additional Insured’s. The Operations Director is responsible for obtaining this before the vendor’s service can commence.

UPCMS will provide a full statement of coverages upon approval of the charter and the determination of facility space by NYCDOE. The estimated coverage amounts are as follows:

Coverage	Sub-Category	Limit
Commercial General Liability	Each Occurrence	\$1,000,000
	Damages to Rented Premises	\$1,000,000
	Medical Expenses	\$5,000
	Personal & Adv Injury	\$1,000,000
	General Aggregate	\$3,000,000
	Products	\$3,000,000
	Sexual Molestation	\$1,000,000
Automobile Liability	Combined Single Unit	\$1,000,000
Umbrella Liability	Each Occurrence	-\$10,000,000
	Aggregate	\$10,000,000

University Prep Charter Middle School
R-21ad – Fiscal Soundness

(a) Budget

Setting A Conservative and Sound Budgeting Context

The Five-Year Financial Model for University Prep Public Schools is the product of a process of collaborative program design and conservative budgeting. Conceptually, we perceive the growth of the education corporation (exclusive of UPCMS) as flat over the next five years. The board of trustees will make provisions for the salary of the Superintendent and an assistant to be split-funded across both schools over the next five years. Enrollment and staffing at UPCHS are projected as flat over the next five years as well. Our revenue-side projections are conservative and reflect funding levels established by statute and affirmed by recurring practice. For example, for FY 2018-19, schools are projected to receive \$15,759 per student based on supplemental aid from the New York State Senate (\$267 per student) and the Governor (\$184 per student). Our Year 1 budget for the 2019-2020 school year does not assume this allocation will be made again. We therefore base our Year 1 projection on the figure of \$15, 527 per student which is projected as the base allocation for 2018-19. The State Senate and Governor have made supplemental aid grants to charter schools for the past three years. Should the practice continue at the same level over the next five years, our organization would realize revenues of approximately \$1,831,962. We omit these assumptions from our estimates. The issuance and amount of the Senate and gubernatorial grants are not guaranteed by statute. We do assume that per pupil allocations will increase significantly based on changes in the funding formula reported in guidance issued by the New York City Charter Center.

The Budget and Financial Plan for UPCHS

The following plan was submitted as part of the 2017 charter renewal application for UPCHS:

Fiscal Plan _ University Prep Charter High School

Looking toward the upcoming charter term, the trustees and administration team of UPCHS have sought to budget conservatively, while identifying new ways to leverage staff capacity on mission-driven projects. The UPCHS five-year renewal budget represents a general operating budget of \$7,656,159 for FY 2019, with an operating surplus of \$358,457. Our per pupil revenue calculations, informed by New York City Charter Center guidance, anticipates a per pupil allocation of \$14,827. This figure is \$480 less than the Center's estimate of \$15,307. We maintain our conservative estimate in Years 2 and 3. In Years 4 and 5, we estimate \$15,027 per student. In Year 5, we project a one-year operating surplus of \$49,066. Over the next five years, we anticipate year-end cash balances of \$1.61M in Year 1 and \$2.4M in Year 5.

We have also developed a conservative budget that assumes three percent increases in staff salaries for Years 2 and 3, and one percent increases in Year 4. Under this scenario, UPCHS projects annual surpluses in Years 1 and 2 of \$358,457 and \$163,445, respectively. These surpluses offset projected one-year deficits in Years 3 through 5 of \$6,614, \$77,662, and \$140,043, respectively. In this second model, our ending cash balance in Year 1 is \$1,858,457. Our ending cash balance in Year 5 is \$1,757,583. We believe our model is sustainable under the current assumptions; and, will work to monitor shifts in expectations on revenue and expenses.

University Prep Charter Middle School
R-21ad – Fiscal Soundness

The board of trustees is keenly aware of the need to contain manageable expenditures. Prior to legislative changes and the availability of increased funding, our team work proactively to contain expenditures. The administrative leadership team produced a budget cutting spending by more than \$350,000. These cuts were achieved without an adverse impact on student performance. More importantly, other indicators of school culture such as average daily attendance (staff and student), survey data, and anecdotal evidence, affirm that the model effectively withstood reductions. The board and administrative leadership team regularly evaluate programs and supports to assess impact. In looking at effectiveness and efficiency, we have made some hard decisions, while relying on data and our professional expertise to avoid adverse consequences.

UPCHS will expand internal and external capacity to oversee, plan and manage school finance and operations. UPCHS will continue to receive back office support from CSBM for financial management and operations planning. Support will include preparing monthly and quarterly budget reports; payroll processing, and audit prep. Our assistant principal for operations will lead a new team comprising operations and office leads with responsibility for the operational and administrative functions. The principal will work closely with the board's finance committee and our consultants.

As we have in the past, the five-year budget projection has been prepared with very conservative assumptions, and therefore we believe actual results may be better. Through careful fiscal management UPCHS has accumulated significant reserves over previous charter periods, so that it will have the resources available to cover unanticipated changes.

In 2016-2017, overall enrollment was 408 students. We project a Year 1 enrollment of 430 students beginning in 2018-2019. We anticipate the following projections for special education students: <20% - 2, 20% to 60% - 37, and >60% - 25. We anticipate relatively consistent enrollment over the course of the next term. Accordingly, our projected enrollment is reasonable and consistent with our current demand. The budget assumes there will be changes in the per pupil allocation over the 5-year period. The projected per pupil allocation of \$14,827 will begin in 2017-18. (Please note an \$800/per pupil addition is listed as a single line item in budget. Tab 4, Row 61.). The budget also assumes \$10,390 for students receiving special education programming for 20%-60% of the school day and \$19,049 for students receiving special education programming for more than 60% of the school day.

Consistent with our model, we anticipate only modest changes to the staffing plan throughout the charter term. The 2023 budget reflects our total staffing requirements over the 5-year period, which includes a total of 7 administrative staff members and 42 instructional staff members. The salaries are projected to increase from 1% to 3% annually for the 5-year period. We also project sharply rising health and benefit costs in the early years of the charter (five percent in Years 1 through 3, declining to between 2 and 3 percent, respectively). Professional fees are generally flat over the course of the charter term. Operating costs are projected to increase by 1 percent annually. Depreciation expense is \$100,000 per year.

The budget assumes no philanthropic contributions.

Assumptions of the Consolidated Budget for UPPS, Inc.

University Prep Charter Middle School
R-21ad – Fiscal Soundness

Enrollment. Over the course of the proposed charter term for UPCMS, the organization will experience significant enrollment growth. For the current year and 2018-2019, the organization will enroll approximately 430 students in grades 9-12. Beginning in 2019-2020, we will add another 184 students in grades 5 and 6. Our projected UPPS enrollment will grow from 614 in Year 1 to 738 in Year 2, then again to 892 in Year 3 and Year 4. In Year 5, we assume a total enrollment of 926 students. We have factored in some attrition (three percent), however, we do expect to have a substantial waiting list from which we will fill vacancies at UPCMS. At present, UPCHS is enrolled at nearly 12 percent above the chartered enrollment. Given our projected class sizes, we do not assume a similar capacity at UPCMS. Should demand significantly exceed our projects and create a basis for adding sections more quickly than planned, the board, Superintendent, and Principal will consider restructuring our design and amending the charter.

Revenues from State Sources. As noted previously, we use a per pupil allocation of \$15,527 to build our baseline budget. We also factor in an additional \$175,000 from the Department of Youth and Community Development (Year 1 only). The budget includes formula amounts for NYSTL, NYSSL, and NYSIBL. Special education revenue projections assume that UPCMS will match the district total of 26% enrollment by students with disabilities (SWD). We recognize significant recruitment and retention efforts will be required to achieve this objective. Nonetheless, we believe that our comprehensive commitment to developing students and supporting families will make UPCMS an attractive option for students. We project 5 percent of students will require services from 20-60 percent of the day, and that 15 percent of students will require services for 60 percent of the day or more. Our calculations will be revised accordingly, and our projections will be reset once sufficient baseline data is available.

Revenue from Federal Funding. UPPS anticipates receiving funding through the CSP program. We will also seek supplemental CSP funding by targeting fund priorities such as serving a high-needs target population and potentially entering into a lease agreement by April 2019. Our budget omits, however, any allocations of supplemental funding based on meeting those criteria. We assume Title I, Title IIA and IDEA funding over the course of the charter term.

Other Revenues. As noted throughout the application, we will be seeking a co-located space within an NYCDOE public school. In the event that space is unavailable, we will seek private space within CSD 7. The budget allocates revenues and expenses for commercial rent. The Facility Rental Assistance Program from NYCDOE provides reimbursements for rental expenses occurred up to 30 percent of the per pupil allocation. Our projections for FRAP assistance and rental expense are conservative (higher than likely).

Non-Committed/Committed Philanthropy. The board of trustees has not yet created a plan to solicit funds and build a development profile for the organization. Prospective Superintendent Andrea d'Amato reintroduced this consideration at the June 2018 board meeting. Trustees will take up the matter in July and August to provide direction to staff and consultants in seeking supplemental funds to secure the opening of UPCMS. Fundraising will be a standing topic for the board through the planned August 2019 opening of UPCMS.

University Prep Charter Middle School
R-21ad – Fiscal Soundness

Personnel Costs. Given the nature of our partnership with teachers and the Collective Bargaining Agreement, personnel costs are an ongoing area of concern for the board of trustees. As the organization grows and matures, our experienced teachers increasingly comprise a growing share of our expenses. During the previous charter term, our administrative team was able to make extensive budget cuts freeing up more than three hundred thousand dollars. We assume annual salary increases of at least 2 percent each year.

Contracted Services. The organization makes use of several firms for contracted services that include financial management and support, legal services, accounting and auditing services, special education services, strategic planning, charter compliance and oversight, and payroll management. For this menu of services, we assume increases of approximately three percent per year. The Year 1 projection for contracted service expenses is \$528,924. This figure grows to \$540,354 in Year 5. The flat expense growth reflects the internal investment within the model to build capable leadership in each school.

Dissolution. The organization has already established a dissolution fund for the corporation. Funds in the amount of \$75,000 (Year 1) have been set aside for dissolution of UPCMS as well.

Facility operation and maintenance. We anticipate significant expenses in this area. We have initiated conversations with developers, and base our calculations on estimated per square foot costs of \$25. In Years 2 through 5 as enrollment grows, we also project higher costs ranging from \$650,000 to \$850,000. We assume a 5% annual increase in utilities costs, but hold repairs and maintenance relatively flat.

Management Fees. Not applicable.

Overall, our expenses increase from \$11,789,895 in Year 1 to \$18,683,152 in Year 5. Further, our beginning balance of approximately \$2 million grows modestly to \$2,279,453 in Year 5. We are fully cognizant of the cost factors driving the model and remain optimistic that our effectiveness in delivering on our academic promise will be sufficient to meeting expenses. Over the course of the charter term, we will assess the feasibility of expanding the model based on factors such as the changing universe of middle choice in CSD 7 and the South Bronx, funding options, facility options (shared space in a DOE facility, occupying common space with the high school, etc.). The board will be actively considering each of these scenarios over the course of the charter term.

(b) Financial Planning

The proposed school will adopt the same financial planning process as the education corporation. This item is incorporated by reference.

(c) Fiscal Audits

The proposed school will adopt the same fiscal auditing process as the education corporation. This item is incorporated by reference.

(d) Dissolution Procedures

In the event of dissolution of a single school, the principle procedures the school would follow are:

University Prep Charter Middle School
R-21ad – Fiscal Soundness

1. Convene a meeting of the board of trustees and key administrators to assign roles for the winding down of the business of the education corporation.
2. Confirm the financial position of the school and the availability of sufficient funds held in escrow to manage and effect the dissolution.
3. Consult with legal counsel on the status and obligations of the education corporation.
4. Convene a meeting with our larger stakeholder communities to share the process of dissolution and their forward-looking options, including placement in the continuing school, lottery procedures (if necessary), and records transfers.
5. Notify bondholders, if applicable, of the status of the education corporation and the status of each school operated by the education corporation.

The detailed steps in the SUNY Closure Plan are effective, but will require a dedicated person to ensure high-fidelity fulfillment of the items on the list. Our trustees may hire an independent party/organization to lead the dissolution process subsequent to the fulfillment of all trustee and administrative duties required by the authorizer, the New York State Education Department and the laws of New York State.

The current dissolution procedures of the education corporation are incorporated by reference.

Fiscal Plan _ University Prep Charter High School

Looking toward the upcoming charter term, the trustees and administration team of UPCHS have sought to budget conservatively, while identifying new ways to leverage staff capacity on mission-driven projects. The UPCHS five-year renewal budget represents a general operating budget of \$7,656,159 for FY 2019, with an operating surplus of \$358,457. Our per pupil revenue calculations, informed by New York City Charter Center guidance, anticipates a per pupil allocation of \$14,827. This figure is \$480 *less* than the Center's estimate of \$15,307. We maintain our conservative estimate in Years 2 and 3. In Years 4 and 5, we estimate \$15,027 per student. In Year 5, we project a one-year operating surplus of \$49,066. Over the next five years, we anticipate year-end cash balances of \$1.61M in Year 1 and \$2.4M in Year 5.

We have also developed a conservative budget that assumes three percent increases in staff salaries for Years 2 and 3, and one percent increases in Year 4. Under this scenario, UPCHS projects annual surpluses in Years 1 and 2 of \$358,457 and \$163,445, respectively. These surpluses offset projected one-year deficits in Years 3 through 5 of \$6,614, \$77,662, and \$140,043, respectively. In this second model, our ending cash balance in Year 1 is \$1,858,457. Our ending cash balance in Year 5 is \$1,757,583. We believe our model is sustainable under the current assumptions, and will work to monitor shifts in expectations on revenue and expenses.

The board of trustees is keenly aware of the need to contain manageable expenditures. Prior to legislative changes and the availability of increased funding, our team work proactively to contain expenditures. The administrative leadership team produced a budget cutting spending by more than \$350,000. These cuts were achieved without an adverse impact on student performance. More importantly, other indicators of school culture such as average daily attendance (staff and student), survey data, and anecdotal evidence, affirm that the model effectively withstood reductions. The board and administrative leadership team regularly evaluate programs and supports to assess impact. In looking at effectiveness and efficiency, we have made some hard decisions, while relying on data and our professional expertise to avoid adverse consequences.

UPCHS will expand internal and external capacity to oversee, plan and manage school finance and operations. UPCHS will continue to receive back office support from CSBM for financial management and operations planning. Support will include preparing monthly and quarterly budget reports; payroll processing, and audit prep. Our assistant principal for operations will lead a new team comprising operations and office leads with responsibility for the operational and administrative functions. The principal will work closely with the board's finance committee and our consultants.

As we have in the past, the five-year budget projection has been prepared with very conservative assumptions, and therefore we believe actual results may be better. Through careful fiscal management UPCHS has accumulated significant reserves over previous charter periods, so that it will have the resources available to cover unanticipated changes.

In 2016-2017, overall enrollment was 408 students. We project a Year 1 enrollment of 430 students beginning in 2018-2019. We anticipate the following projections for special education students: <20% - 2,

20% to 60% - 37, and >60% - 25. We anticipate relatively consistent enrollment over the course of the next term. Accordingly, our projected enrollment is reasonable and consistent with our current demand. The budget assumes there will be changes in the per pupil allocation over the 5-year period. The projected per pupil allocation of \$14,827 will begin in 2017-18. (Please note an \$800/per pupil addition is listed as a single line item in budget. Tab 4, Row 61.). The budget also assumes \$10,390 for students receiving special education programming for 20%-60% of the school day and \$19,049 for students receiving special education programming for more than 60% of the school day.

Consistent with our model, we anticipate only modest changes to the staffing plan throughout the charter term. The 2023 budget reflects our total staffing requirements over the 5-year period, which includes a total of 7 administrative staff members and 42 instructional staff members. The salaries are projected to increase from 1% to 3% annually for the 5-year period. We also project sharply rising health and benefit costs in the early years of the charter (five percent in Years 1 through 3, declining to between 2 and 3 percent, respectively). Professional fees are generally flat over the course of the charter term. Operating costs are projected to increase by 1 percent annually. Depreciation expense is \$100,000 per year.

The budget assumes no philanthropic contributions.

UNIVERSITY PREPARATORY CHARTER HIGH SCHOOL

Financial Policies and Procedures Manual

July 2017

Facilitated by:



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INTRODUCTION

Purpose of Manual

University Preparatory Charter School (UPCHS) (the “School”) is committed to developing and maintaining financial policies and procedures that ensure sound internal controls, fiscal responsibility, transparency and accountability in accordance with the generally accepted accounting principles (GAAP) practiced in the United States of America and the rules and regulations established by the Financial Accounting Standards Board (FASB). The School will follow all the relevant laws and regulations that govern charter schools within the City and State of New York. As a nonprofit organization, the School is entrusted with funds granted by Federal, State, and City government agencies as well as Corporations, Philanthropic Foundations and Individual contributors. The policies and procedures outlined below will be part of the School’s system of internal controls designed to safeguard assets, promote operational efficiency, minimize waste, fraud and theft, and ensure accurate accounting data.

Financial Leadership and Management

The financial management team of the School consists of:

- Board of Trustees,
- Board Chairperson,
- Board Treasurer,
- Finance Committee of the Board of Trustees,
- Principal,
- Assistant Principal of Operations
- Operations Lead
- School Secretary/Office Lead
- Operations Associate(s)
- Financial Consultants

The financial management team outlined above is accountable for fiscal oversight of the School. The financial management team will collectively work to make certain that all financial matters of the School are properly addressed with care, integrity, and accuracy in the best interest of the School.

Changes to the Financial Policies and Procedures Manual

The financial policies and procedures manual (the “Manual”) establishes the policies and procedures for the fiscal and administrative functions conducted by the School. The School’s financial management team is responsible for periodically reviewing and revising the Manual as needed. The Board of Trustees must approve all amendments to the Manual. Any violation of these policies and procedures is considered to be cause for termination or removal and, depending upon the nature of the infraction, civil and/or criminal prosecution.

Fiscal Year

The fiscal year of the School is from July 1st to June 30th.

Annual Audit

The School will undergo an annual independent audit conducted by an audit firm engaged by the Board of Trustees. The audit will be performed shortly following the close of the School's fiscal year-end. Audited financial statements must be submitted to NYSED and the School's authorizer by **November 1** of each fiscal year and must include a management letter, if applicable along with any other required reports.

The School Leadership and Board of Trustees will review any management or advisory letters issued as a result of the annual audit. A correction action plan will be developed, documented and monitored by School Leadership and the Board of Trustees.

If total federal expenditures for the fiscal year should exceed \$750,000 (or current federal guidelines), an additional audit under the guidance of OMB Circular A-133¹ will be also conducted by the independent audit firm and filed with the Federal Government, NYSED and the School's Authorizer by **November 1** (March 31st of the following year if an extension request is received and approved by NYSED).

Other Audits

Any audits performed by outside entities, such as the Office of the State Comptroller, shall be reviewed by School Leadership and Board of Trustees. A corrective action plan will be developed, documented and monitored by School Leadership and the Board of Trustees to address any resulting findings.

INTERNAL CONTROL STRUCTURE

Background

Internal controls have been established to provide reasonable assurance to achieve the following:

- Effectiveness and efficiency of operations;
- Reliability of financial reporting; and
- Compliance with applicable laws and regulations.

¹ OMB Circular A-133 Revised 2007; http://www.whitehouse.gov/omb/assets/a133/a133_revised_2007.pdf; accessed on 07/2010

The internal control structure is composed of the following basic elements: (1) the control environment; (2) the accounting system; (3) control procedures; and (4) the accounting cycle.

1. Internal Control Environment

By implementing internal controls, the School establishes the importance of enforcing and maintaining accountability, transparency, and accuracy in its day-to-day financial transactions. Factors that impact the internal control environment can include school management and Board philosophy; organizational structure; ways of assigning authority and responsibility; methods of management and control; personnel policies and practices; and external influences such as significant donor expectations.

2. Accounting System

The School has implemented an accounting system consisting of processes and documentation used to identify, compile, classify, record and report accounting transactions. These processes were established to: (1) identify and record all of the School's fiscal transactions; (2) describe the transactions adequately, to allow proper classification for financial reporting, and (3) specify the time period in which transactions occurred, to record them in the proper accounting period.

3. Internal Control Procedures

The School has adopted a number of internal financial controls. These procedures are set up to strengthen the School's internal control structure in order to safeguard the School's assets. The internal financial controls consist of the following:

Segregation of Duties: A hierarchical structure of authority and responsibility has been developed at the School. Tasks are divided and allocated to guard against one individual having the ability to make an accounting error (either knowingly or unknowingly). This protects the School from any potential fraud or misappropriation of funds. In situations where there are an insufficient number of employees to achieve this because of budget constraints, a compensating control has been created at the School.

Restricted Access: Physical access to valuable and moveable assets is restricted to authorized personnel.

Document Control: To ensure that all documents are captured by the accounting system, all documents must be signed or initialed and dated when recorded and then filed appropriately.

Records Retention: Records will be maintained for the periods sufficient to satisfy IRS regulations, federal grant requirements, OMB A133 audit requirements (if applicable) and other legal needs as may be determined. Record retention requirements are reviewed annually with legal counsel and independent auditors to determine any necessary changes.

Processing Controls:

The School has implemented processes that are designed to identify any errors *before* they are posted to the general ledger. Common processing controls include: (1) Source document

matching; (2) Clerical accuracy of documents; and (3) General ledger account code checking.

Reconciliation Controls: In order to identify any errors that have been posted to the general ledger, the school has implemented review and reconciliation procedures such as bank and credit/debit card reconciliations, review and reconciliation of selected general ledger accounts.

Annual Independent Audit: The School's financial statements are audited annually by an independent audit firm selected by the Board of Trustees.

Security of Financial Data: The School's accounting software is accessible only to the Assistant Principal of Operations and the Financial Consultants. Individual user names and passwords will be issued for each user and their access will be limited according to their functionality and role within the School. All hard copies of financial data, when not in use, will be secured in a designated area at the School.

Risk Assessment: The School has implemented policies and procedures designed to identify, analyze, and manage risk relevant to the preparation of accurate financial statements. It includes mitigating risks involving internal and/or external factors that might adversely affect the School's ability to properly record, process, summarize and report financial data.

Fraud Prevention: The School's policies and procedures are designed to detect and deter fraud. These include policies such as purchasing approval thresholds, payroll processing approvals as well as check signing requirements and thresholds.

4. Accounting Cycle

The accounting cycle is designed to accurately process, record, summarize, and report transactions of the School. The School will maintain their accounting records and related financial reports on the accrual basis of accounting. Under the accrual basis of accounting, revenues are recognized when earned, and expenses are recognized when obligations are incurred (goods transferred or services rendered).

The components of the accounting cycle fall into five primary functions:

A. Revenue, Accounts Receivable, and Cash Receipts

Key tasks in this area include:

- Processing and recording cash receipts and making deposits;
- Performing month-end reconciliation procedures; and
- Tracking grant compliance and private revenue restrictions.

B. Purchases, Accounts Payable, and Cash Disbursements

Key tasks in this area include:

- Authorizing the procurement of goods and/or services;
- Processing purchases and recording invoices and issuing checks; and
- Performing month-end reconciliation procedures.

C. Payroll

Key tasks in this area include:

- Maintaining and processing payroll information;
- Performing quarterly and year end reconciliations; and
- Preparing required federal, state and local tax filings.

D. General Ledger and Financial Statements

Key tasks in this area include:

- Reviewing and reconciling general ledger activity;
- Reconciling bank accounts; and
- Producing financial statements.

E. Budgets and Financial Reporting

Key tasks in this area include:

- Preparation of annual budget; and
- Preparing monthly budget vs. actual reports.

ANNUAL BUDGETING AND REPORTING

Annual Budgeting

The School is responsible for creating annual operating and capital budgets as well as updating the 5-year budget projections (as needed). The annual operating and capital budget and the 5-year budget projections (if amended) must be approved and passed by the Board of Trustees by June 30th before the start of the new fiscal year. Following this approval, any formal amendments to the budget must also be approved by the Board of Trustees.

Financial Reporting

The School will complete and present financial reports as required by the Board of Trustees, including but not limited to the following:

- (1) Budget vs. Actual report for the operating and capital budgets;
- (2) Balance Sheet;
- (3) Statement of Cash Flows;
- (4) Cash Flow projections as needed; and
- (5) Federal grant reports as needed.

CASH RECEIPTS AND REVENUE

Background

The School receives revenues from the following primary sources:

- Federal, state, and local government; and
- Corporations, foundations, and individuals

Distribution of Mail

The School Secretary/Office Lead sorts and distributes all mail on a daily basis.

- Bank statements and credit card statements are distributed to Principal unopened for review
- Vendor bills/statements, checks for deposit and city/state/federal agency correspondence are distributed to the Assistant Principal of Operations unopened for review.

Receiving, Processing and Recording Cash Receipts

- All checks must be stamped immediately in the designated endorsement area with “For Deposit Only” and the appropriate bank account number by the Operations Lead or Assistant Principal of Operations.
- The Assistant Principal of Operations is responsible for making all deposits. Checks should be secured in a locked location until deposited, and deposits must be made bi-weekly.
- Payments received from students/families (for example, school lunch fees, uniforms, field trips) will be collected by designated staff and submitted to and counted for accuracy by the Operations Lead or Assistant Principal of Operations.
- The Financial Consultants record the receipt of funds in the accounting system.
- The Assistant Principal of Operations is responsible for ensuring the completion and filing of the Cash Receipts Packet which includes:
 - Deposit Detail from accounting system;
 - Copy of deposit slip;
 - Bank-endorsed proof of deposit;
 - Copy of all checks and cash receipt logs for currency; and
 - Additional documentation received with the check
- The Assistant Principal of Operations and Financial Consultants will periodically audit and review all transactions for accuracy and proper supporting documentation.

Revenue Compliance

The School’s accounting and documentation system must be capable of meeting the specific requirements imposed by grant agreements and donor designations and restrictions. Restriction parameters (such as job codes, donors or classes) will be set up in the accounting

system to allow for accurate tracking of the applicable revenue, expenses, and assets based on the funding requirements.

- All grant expenditures/costs reported must be reconciled to the books by the Financial Consultants prior to the submission of any reports.
- The School must establish and document an annual cost allocation plan (for both direct and indirect costs), which is reviewed and approved by the Board of Directors.
- Expenses cannot be charged over 100% against multiple grants.
- The Assistant Principal of Operations must ensure that all reporting requirements and deadlines are met.

Federal Awards

The link below can be referenced for A-133 requirements related to each grant:

http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2014

For all federal grants the Principal will be required to certify all reports and payment requests by signing and agreeing to the following:

“By signing this report, I certify to the best of my knowledge and belief that the report is true, complete and accurate and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the federal award. I am aware that any false, fictitious, or fraudulent information or the omission of any material fact, may subject me to criminal civil or administrative penalties for fraud, false statements, false claims, or otherwise.”

Drawdowns/advances must be disbursed within specified time and maintained in insured account. The funds must also be in interest bearing account, if:

- Aggregate federal awards are over \$120,000; and
- Account expected to earn in excess of \$500 in interest per year; and
- Bank required minimum balance is feasible for the School to maintain.

Allowability Procedures

Before any grant funds are budgeted and expended staff are required to determine the cost eligibility based on the following factors:

- Necessary, reasonable and allocable
- Conform with federal law and grant terms
- Consistent with state and local policies
- Consistently treated
- In accordance with GAAP
- Not included as a match
- Net of applicable credits

- Adequately documented

The following link must be used to determine specific cost eligibility:

http://www.whitehouse.gov/omb/circulars_a122_2004#atta

Payments made for costs determined to be unallowable by either the Federal awarding agency or pass-through must be refunded (including interest) to the Federal government in accordance with instructions from the Federal agency that determined the costs are unallowable.

Payroll (Time and Effort Documentation)

Charges to Federal awards for salaries and wages must be based on records that accurately reflect the work performed.

See link for suggested example:

<http://www.p12.nysed.gov/accountability/consolidatedappupdate/employeecertifications.html>

Revenue Recognition for Grants

Revenue is recognized when earned and when contributions are received or awarded in accordance with GAAP.

In-kind Contributions

Donated Goods and Services

Donated goods and services can include office space, professional services such as outside counsel's legal advice, food, clothing, furniture and equipment, or bargain purchases of materials at prices less than market value. In addition, volunteers can provide free services, including administrative services, participation in fundraising events, and program services. The Financial Consultants, with input from the Assistant Principal of Operations, record donated items or services in the accounting system at fair value or avoided cost, as determined by the donor and documented in writing.

Donated Securities

Publicly traded securities may be accepted. The School should sell all gifts of public securities as soon as reasonably possible with the cash from the sale transferred to the School's bank account. The securities will be valued at the closing price on the day they were sold.

Contributions Acknowledgment Letter

When the School receives a donation or an unconditional pledge in excess of \$250, a contribution acknowledgement letter stating the value of the donation is drafted by the Assistant Principal of Operations, signed by the Principal, and sent to the donor. The acknowledgment should include:

- The amount of cash received and a description of any other property contributed (for in-kind goods contributed in which donor determines fair value for their individual tax purposes, the donor provided fair value is included as contribution);
- A statement about whether any goods or services in return for the contribution were provided; and
- A description and an estimated value of what was provided if the School provided something in return for the contribution.

These rules do not apply on a cumulative basis. One contributor who makes separate donations, each of which is less than \$250 but in the aggregate is greater than \$250, is not required to receive an acknowledgment.

Accounts Receivable Aging

All outstanding accounts receivable are aged on a thirty, sixty, ninety, and over-ninety day basis. The Assistant Principal of Operations should review the accounts receivable aging monthly, determine which invoices are collectible, and follow the necessary requirements based on the type of funding, in order to collect. Accounts receivable that are deemed uncollectible will be written off once approved by the Assistant Principal of Operations.

PURCHASES AND CASH DISBURSEMENTS

Background

The School procures only those items and services required to fulfill the mission and/or fill a bona fide need. Procurements are made using best value contracting, which entails assessing the best value considering quality, performance, and price.

The School adheres to the following objectives:

- Procurements will be completely impartial based strictly on the merits of supplier and contractor proposals and applicable considerations such as delivery, quantity, quality.
- The School will make all purchases in the best interests of the School and its funding sources and in accordance with any grant restrictions as applicable.
- The School will buy from reliable vendors.
- The School will not contract with vendor who has been suspended or debarred. www.sam.gov
- The School will obtain maximum value for all expenditures.
- The School will be above suspicion of unethical behavior at all times and avoid any conflict of interest, transactions with related parties, or even the appearance of a conflict of interest in the School supplier relationships. The School's conflict of interest policies are described in its By-laws.

- The contractor must possess financial and technical resources necessary to provide service/goods
- Competitive quotes are required for goods and services over \$3,000 (followed by bidding requirements stated above.)
- Competitive bidding must be based on the procedures outlined in the School’s Fiscal Policies and Procedures Manual.

Exemption from Sales Tax

The School is exempt from federal and state tax. As such, the School is exempt from sales taxes on goods purchased for their own internal use. The School’s Assistant Principal of Operations is responsible for ensuring that all vendors have a copy of the sales tax exemption letter.

Bidding Process

The School utilizes the following procurement guidelines:

Vendor Type	Definition	Bidding requirement
Preferred vendors	The vendor has a contract with New York City and/or New York State.	No bidding is required.
Sole vendors	The vendor is providing a unique service or product that is not offered by other vendors.	No bidding is required (Assistant Principal of Operations must prepare a justification statement.)
All other vendor purchases:		
- Below \$19,999		No bidding is required.
- \$20,000 and above		Bidding is required (see below.)

Purchases Funded with Federal Awards

Competitive quotes are required for goods and services over \$3,000 (followed by bidding requirements stated above.)

Competitive Bidding Procedure

- The School will seek price quotes from at least three vendors and award the contract to the qualified vendor offering the supply or service needed for the lowest price.
- The Assistant Principal of Operations is responsible for soliciting and documenting these quotes with support from the Operations Lead and the Principal.
- The Board of Trustees must provide final approval after multiple bids are presented to them with recommendations.
- Award may be made to a vendor other than the low bidder in circumstances which the higher bid demonstrates best value to the School. In such situations, the Assistant Principal of Operations shall prepare a justification statement for such awards, furnishing a brief

explanation of the factors leading to such a decision.

- If required by the School’s Authorizer, the School will notify the School’s Authorizer of any material or significant purchases, contracts and agreements in addition to obtaining Board of Trustee approvals.

Processing Purchases

Approval

No staff member may approve his/her own purchase requests. Each purchase must be approved as follows:

\$ Value/Range	Required Signatures for Approval
Below \$5,000	Assistant Principal of Operations
Between \$5,001 and \$19,999	Principal
\$20,000 and above	Principal and Designated Board Officer

* For recurring charges (such as rent, utilities, monthly insurance) over \$20,000 annual approval is acceptable.

Issuance and Monitoring of Purchase Orders

- Request for purchases are submitted to the Operations Lead.
- The Operations Lead with support from the Financial Consultants creates a Purchase Order/Payment Authorization Form per vendor and based on the total value of the order, seeks approval based on the table above. All purchasing thresholds apply to the entire order, not single items.
- Purchase of services are approved through Payment Authorization Form and signed contracts, no PO necessary.
- The Operations Lead then places the order with the vendor. In the event the Operations Lead is unavailable to place the order, the Assistant Principal will place the order. If receipt of the Purchase Order/Payment Authorization Form is required by the vendor before goods/services are rendered, the form will be sent to the vendor when the order is placed, accompanied by any other required documentation.

Receipt of Goods

- The School Secretary/Office Lead or an Operations Associate will sign for delivery.
- The School Secretary/Office Lead or an Operations Associate is responsible for opening the packages and obtaining and signing the packing slip(s). In instances where there is no packing slip, a substitute packing slip will be filled out and signed by the School Secretary/Office Lead or Operations Associate reviewing the items received. The Operations Lead will check the packing slip against the original PO.
- If there are discrepancies with the order, the Operations Lead will inform the Assistant Principal of Operations.
- The Operations Lead or Assistant Principal of Operations will contact the vendor to resolve any issues.

Processing Disbursements

- The vendor invoice is entered into the accounting system by the Financial Consultants. The Financial Consultants will assemble and file (once complete) the following Cash Disbursement Packet:
 - Check Stub or copy of check;
 - Purchase Order/Payment Authorization Form;
 - Reimbursement Form as applicable;
 - Vendor Invoice;
 - Packing Slip; and
 - Other documentation
- The Assistant Principal of Operations with input from the Financial Consultants will review accounts payable aging to determine invoices to be paid, taking into consideration purchase discounts whenever possible.
- The Assistant Principal of Operations will maintain all blank check stock in a locked location at the school.
- The Financial Consultants cut the check. The checks are run weekly or as needed.
- The Cash Disbursement Packet and check is reviewed, approved and signed (as required below) and filed by the Financial Consultants
- The School Secretary/Office Lead mails the checks.
- Any and all voided checks should be stamped “Void” and filed appropriately.

Check signing authority is as follows:

\$ Value/Range	Required Signatures for Checks
\$19,999 and Below	Principal
\$20,000 and Above	Principal and Designated Board Officer

* For recurring charges (such as rent, utilities, monthly insurance) over \$20,000 one signature is acceptable.

In no event shall an authorized signatory approve an invoice, execute a check, or authorize a disbursement of any kind, payable to herself/himself without the approval of a second authorized signatory.

Online/Phone/Fax/Wire/EFT Payments

Payments made online or by phone, fax, wire, or electronic funds transfer (EFT) may be processed by the Assistant Principal of Operations or the Financial Consultants only after the Purchase Order/Payment Authorization Form is approved by the proper signatories (detailed above). The Purchase Order/Payment Authorization Form will take the place of a traditional check. For recurring automatic withdrawals, an annual Payment Authorization Form must be completed and approved.

Accounts Payable

Accounts payables outstanding are aged on a thirty, sixty, ninety, and over-ninety day basis. The Assistant Principal of Operations and Financial Consultants will review the accounts payable aging monthly, determine the available cash balances while taking into consideration other cash requirements in the near future and select which items to pay.

Outstanding Checks

Checks outstanding for 90 days or more should be investigated by the Assistant Principal of Operations. Based on the outcome of the investigation, the check should be voided in the accounting system, a stop payment issued with the bank, and a new check issued to the vendor.

Reimbursable Expenses

- With prior approval, as described below, staff may make purchases with their own funds and apply for reimbursement for amounts up to \$500 per year depending upon position.
- Reimbursable expenses will require pre-approval by the Principal.
- The Board Chair/or designated board representative will approve the Principal's expense reimbursements.
- Receipts are required for all expenditures requiring reimbursement.
- Employees should note that the School is tax exempt and therefore does not reimburse employees for sales tax. A copy of the Sales Tax Exempt Certificate may be obtained from the School for use when making reimbursable purchases.

Board Related Expenses

- Trustees and officers may be reimbursed or advanced reasonable expenses relating to the execution of their duties as Trustees or officers in any manner prescribed by the Board of Trustees.

Travel Expenses

- All business-related travel arrangements and expenses, must be approved by the Principal (The Board Chair/designated board representative will approve the Principal's travel expenses.)
- All business-related travel arrangements will be purchased or reimbursed by the School.
- Expectations for daily expenses or per diem allowances will be determined prior to the employee's trip.
- Receipts are required for all expenditures requiring reimbursement, and requests for reimbursement must be made within 45 days of expense.
- Approved Employee Reimbursement Form reports should be submitted to the Assistant Principal of Operations for processing.

Documentation of all expenses should comply with IRS requirements and clearly show:

- Date
- Names of those in attendance
- Location
- Business purpose
- Amount

Mileage Reimbursement

- All employees are reimbursed at the standard mileage rate per mile as determined by the Internal Revenue Service for use of their own vehicle for business-related travel as approved by the Principal.
- Parking fees and toll fees for business-related travel as approved by the Principal are reimbursable if supported by receipts.

Political Contributions

No funds or assets of the School may be contributed to any political party or individual who either holds public office or is a candidate for public office. The School also cannot provide financial or in-kind support to any organization that raises funds for political purposes. Examples of prohibited activities are:

- Political contributions by an employee that are reimbursed by the School;
- Purchase by the School of tickets for political fundraising events; and
- Contributions in-kind, such as lending employees to political parties or using School assets in political campaigns.

Cellular Telephones

Authorized employees of the School are provided school cell phones for the purpose of conducting legitimate school business. Staff members not provided a school issued phone may be reimbursed for school related calls based on proper documentation and approval by the Principal.

Employees provided school cell phones are required to sign the School's Cellphone User Agreement.

Debit/Credit Card Purchases

- The School maintains a debit/credit card account in the name of the School, with cards issued to the Assistant Principal of Operations and the Principal.
- The Assistant Principal of Operations will transfer funds into the debit card account to ensure a monthly starting balance of \$4,000.
- All cardholders must sign and adhere to the School's Debit/Credit Card Usage Agreement.

- All debit/credit card purchases/payments must be pre-approved via the Purchase Order/Payment Authorization Form based on the purchasing guidelines and policies outlined previously.
- Debit card purchases may not exceed \$3,000 per purchase.

Cardholder Responsibilities

The cardholder is responsible for the safekeeping of the card, and will be held accountable to:

1. Ensure that the card is used only for legitimate school purposes;
2. Adhere to the Debit/Credit Card Agreement;
3. Maintain original receipts, invoices, purchase documents and correspondence including all detail related to the purchases on file for audit purposes, and to provide the School with copies of such documents upon request; and
4. Advise the School of any incorrect charges/transactions in order to follow-up and obtain credit from the issuing institution if warranted.

Cancellation and Renewal of Cards

All relevant cards will be cancelled should an individual cardholder leave his or her position or change roles within the School and if any of the above policies, procedures, and guidelines are not followed.

Rewards Program

If applicable, any rewards/points earned on the debit/credit card will be redeemed monthly and credited towards amount due.

MANAGEMENT OF CASH

Bank Accounts

The School has the following accounts:

- Checking Account (Operating Account)
- Payroll Account
- MMA Account
- Escrow Account*
- Debit Card Account

*The Escrow Account for Dissolution is required by the School's Authorizer to be a Board of Trustees-controlled dissolution account, whose sole purpose is to pay for legal and audit expenses associated with the dissolution of the School should it occur. The School's Authorizer requires the School to set aside \$75,000 over the first three years in this Escrow Account earmarked for the above-named purpose.

In all instances, the School is utilizing its accounts in a way that safely maximizes its overall interest income. The School has the following authorized signatories on the accounts;

- Principal
- A Designated Board Member(s)

Board approval is required to open or close a bank account and must be recorded in the board meeting minutes.

The School recognizes that federal insurance on deposits with a participating bank institution is limited to a total of \$250,000.00, regardless of the number of accounts held. If deemed necessary, the School may negotiate with the financial institution in order to secure such deposits in excess of federal coverage.

Bank Reconciliation

- Monthly bank account reconciliations are processed by the Financial Consultants using the accounting system.
- Any irregularities shall immediately be reported to the Assistant Principal of Operations who will inform the Principal and Board.
- A reconciled Bank Reconciliation report is attached to the bank statement.

Cash Transfers

- Cash balances in all the School bank accounts will be monitored by the Principal, Assistant Principal of Operations and Financial Consultants to ensure that an adequate amount of funds are on hand to meet the School's financial obligations.
- Transfers **among** the School accounts (only) may be made by the Principal or Assistant Principal with guidance from the Financial Consultants as needed.

Investment of Funds

The Board or Board Finance Committee will determine any and all necessary investment needs for the School with input from the Principal. The Assistant Principal of Operations has been granted authority in conjunction with the Board's approval to:

- Purchase and sell investments;
- Have access to investment certificates;
- Keep records of investments and investment earnings; and
- Review and approve investment accounting, bank and broker statement reconciliations, adjustments to the carrying value of investments, and other decisions regarding investments.

Authorization of Investment Vehicles

The School's Board of Trustees authorizes use of specific depository and investment banks and brokerage firms. This authorization is documented in the minutes of the applicable board

meeting and communicated to the Assistant Principal of Operations. The Assistant Principal of Operations communicates the authorization and a list of those personnel designated as authorized agents for the agency to the appropriate banks and firms.

Reconciliation of Investment Accounts

Investment account balances are reconciled with the general ledger balance by the Financial Consultant on a monthly basis and reviewed with the Assistant Principal of Operations.

PAYROLL

Hiring

The School's philosophy is that success depends on hiring highly qualified professionals who are dedicated to ensuring that the services rendered to the students are of high standards, under the direction of the Principal and the Board. This school is under a Collective Bargaining Agreement between the School and the United Federation of Teachers.

- Recruitment will consist of a comprehensive process that includes advertisements in newspapers and educational journals, extensive networking and/or use of regional and national educational search firms and online publications.
- All new employees must receive a signed and approved employment letter from the Principal.
- Any new employees will be subject to fingerprinting and any additional background checks and references as deemed necessary.
- Once the new employee is hired, the Assistant Principal of Operations will collect all necessary payroll data (see *Personnel File* table) and communicate it to the Financial Consultants.
- The Financial Consultants will communicate the new employee payroll data to the outside payroll service provider.
- If an employee must begin service before fingerprint clearance, the employee must receive an Emergency Conditional Appointment that the School's Board of Trustees approved.

Salary Determination

- The School will review comparable data which can include published compensation surveys and executive compensation reported in the IRS Form 990 of other NYC charter Schools for Administrative staff (the Principal and Assistant Principals). All other salaries will be determined by the guidelines set forth in the Collective Bargaining Agreement.
- The Board of Trustees determines the salaries for key employees (Assistant Principal of Operations and Principal). Any such decisions will be acknowledged through Board approval of the budget for the new fiscal year or will be captured in the Board meeting

minutes for salary changes that occur mid-year

- Any changes to a staff member's salary will be approved by the Principal in writing or electronically and maintained in the employee file or per the guidelines set forth in the Collective Bargaining Agreement.
- If applicable, bonus calculations, requirements, and eligibility are determined by the Board of Trustees, outlined explicitly, and recorded in the meeting minutes. A payment schedule is created by the Assistant Principal of Operations which would then be submitted to the Board for their approval.

The School complies with the laws and general principles of employee confidentiality as set forth in the Health Insurance Portability and Accountability Act (HIPAA)² with regard to the dissemination of private health information (PHI) of School employees. To comply with all rules and regulations, including the Americans with Disabilities Act (ADA)³, the School will keep all medical records and all other related documents separate from the personnel file. Employees should consult with the Assistant Principal of Operations or Principal for further information concerning the School's privacy practices.

Analyzing Job Information

The Fair Labor Standards Act (FLSA)⁴ sets employee minimum wage and overtime requirements. Job positions are classified as either exempt or non-exempt from the requirements. These requirements are summarized below and are adhered to by the School. The School's Collective bargaining Agreement supersedes anything stated herein related to unionized employees and meets or exceeds FLSA requirements.

NON-EXEMPT employees are entitled to overtime pay for all hours worked over 40 hours in a workweek under the Fair Labor Standards Act. Non-exempt employees do not receive compensation for their lunchtime and they may not work during lunchtime.

EXEMPT employees are not entitled to overtime pay under the Fair Labor Standards Act.

In addition to the above categories, each employee will belong to one other employment category:

- **REGULAR FULL-TIME employees** are those who are not in a temporary status and who are regularly scheduled to work the School's full-time schedule. A regular full-time employee is one who works thirty-five (37.5) or more hours per week.

² Health Insurance Portability and Accountability Act (HIPAA); <http://www.hhs.gov/ocr/privacy/hipaa/administrative/index.html>; access on 07/2010

³ Americans With Disabilities Act of 1990, as Amended; <http://www.ada.gov/pubs/adastatute08.pdf>; access on 07/2010

⁴ Fair Labor Standards Act (FLSA); <http://www.dol.gov/whd/flsa/index.htm>; access on 07/2010

- **PART-TIME employees** are those who are not in a temporary status and who work continuously for a specified number of hours per week, which is at least twenty (20) hours per week and less than a regular schedule of thirty-five (35) or more hours per week. Part-time employees receive all legally mandated benefits (such as Social Security and workers' compensation insurance).
- **TEMPORARY employees** are those that are hired for short-term periods, usually no longer than 6 months. They will receive all legally mandated benefits but are not eligible for the School's discretionary benefits.

Compensation Accrual

Unpaid compensation (including unused vacation, sick and personal) as of June 30th of each fiscal year will be accrued per GAAP.

Obtaining Payroll Information

The Assistant Principal of Operations is responsible for obtaining the following:

Personnel File	
Employment acceptance letter (signed by both parties)	Form I-9 Employment Eligibility Verification, with proper identification (to be kept in a separate file)
Job description	Federal Withholding Form W-4
Resume	NYS Wage Theft Prevention Form
Certifications (if applicable)	NYS IT-2104
Fingerprint Clearance	Direct Deposit
Retirement Account Application	Benefit Enrollment Form
Life Insurance Form	Emergency Contact Information
Resignation/Termination Letter	Payroll change documentation (i.e. enrollment/discontinuance of a benefit, change salary or title)

- All personnel files must be kept in a locked file cabinet and kept based on record retention requirement, Annex 2.
- Access to such personnel files is limited to the Assistant Principal of Operations or Principal.
- No employee can review or access his or her own personnel file without written permission of the Assistant Principal of Operations or Principal.
- No personnel file is to be copied or removed from the office where it is kept unless expressly permitted in writing by the Assistant Principal of Operations or Principal.

Time Reporting Procedures

- All employees are responsible for tracking the actual time they have worked and paid time off, in accordance with the Staff Handbook and/or Collective Bargaining Agreement.
- The Assistant Principal of Operations will keep track of all days the employees are not at work based on approved leave requests and timesheets.
- All overtime work must be pre-approved by the Principal.
- Time off for no-fault days, leaves of absence, and unpaid lunch hours will not be considered hours worked for purposes of calculating overtime pay.
- If federal funds are used for salaries, then time distribution records are required and must accurately reflect the work performed for each award.
 - Employees working under one federal grant are required to prepare and sign semi-annual time certification.
 - Employees working under multiple federal grants are required to prepare and sign monthly Personnel Activity Reports.

Processing Payroll

- Any changes to an individual's compensation must be approved in writing by the Principal and submitted to the Assistant Principal of Operations.
- The Financial Consultant is responsible for removing terminated employees from the payroll system immediately after the terminated employee has received her/his last payment from the School.
- The Financial Consultants will maintain an Excel spreadsheet to calculate the School's entire payroll based on attendance records approved by the Principal for each payroll.
- The Financial Consultant will then input the approved payroll data into the payroll provider system, creating an official Payroll Register Preview.
- The Payroll Register Preview is reconciled to the Excel spreadsheet by the Assistant Principal of Operations for approval.
- Once approved, the Financial Consultant will submit the payroll for final processing.
- Payroll is recorded in the accounting software by the Financial Consultant.
- The Operations Lead will distribute payroll checks and direct deposit stubs to employees or the Financial Consultants will mail checks and stubs to employees directly
- The Assistant Principal of Operations and Financial Consultants control and monitor all payroll checks that are not deliverable and not cashed.
- Employees must submit written requests for replacement checks for lost checks to the Assistant Principal of Operations.
- All payroll documents must be maintained in a secured and locked location.
- Documentation for each payroll consists of the following:
 - Payroll Register Preview;
 - Approved (by Principal or Assistant Principal of Operations as applicable) documentation for payroll changes to individual employees (i.e. new hires, terminations, pay rate changes, or payroll deductions);
 - Attendance records;

- Overtime timesheets; and
- Final Payroll Register and Reports signed off by the Principal

The School is on a bi-weekly payroll cycle which is made up of twenty-six (26) pay periods per year. 10-month salaried employees' pay is spread out over these 26 pay periods to cover the summer months. Part-time hourly employees are only paid for time worked. Payroll will be processed and funds will be received by staff in advance whenever the School holidays or closings interfere with the normal pay schedule.

Payroll Reconciliations

The payroll vendor is responsible for the preparation of quarterly and annual payroll tax filings. The Assistant Principal of Operations and Financial Consultants are responsible for reviewing all payroll tax documents and supporting schedules for accuracy and completeness.

Quarterly Reconciliation of Payroll to Accounting Records

On a quarterly basis, the Financial Consultants perform a reconciliation of all salary accounts, benefit deductions and payroll taxes in the general ledger, as compared with the salary reported by the payroll processing company on the Form 941 and/or other Quarterly Payroll Return. Any variances are researched and cleared within the month following quarter end.

Annual Reconciliation of Payroll to Accounting Records

On an annual calendar basis, the Financial Consultants with assistance from the Assistant Principal of Operations perform a reconciliation of the annual Form 941, W-3 to General Ledger. Variances are researched and cleared by January 31 of the following year.

PROPERTY AND EQUIPMENT

Background

All property and equipment subject to the School's Capitalization Policy must be tagged in the manner described below and depreciated according to the School's Depreciation Policy.

Capitalization Policy

The School must capitalize items with an acquisition cost of \$3,000 or more **and** useful life greater than one year. For purchases with federal award the capitalization cost is \$3,000 or more per unit and useful life greater than one year. These items are also subject to the School's depreciation policy, outlined below.

In instances where a large quantity of one single item is purchased, if the total value exceeds the \$3,000 threshold, the items may be capitalized. For example, if a School buys 100 desks at \$250 per desk, each single item would not meet the threshold. Together, however, these 100 desks

have a combined value of \$25,000, which should be capitalized.

Asset Tracking Process

Upon receiving any property that qualifies as a fixed asset, the School Secretary/Office Lead or an Operations Associate with support from with the Operations Lead is responsible for recording the following into the Fixed Asset Tracking List:

- Asset tracking number as designated by the School;
- Asset name, use, condition and description;
- Classification (i.e. land, building, equipment, betterment, leasehold improvements, furniture, computer hardware and software);
- Serial number, model number, or other identification;
- Indicate if the title vests with the governmental agency, if required;
- Vendor name and acquisition date or date placed in service;
- Location of the equipment;
- Purchase Value;
- Disposal Date and Reason; and
- Specify dollar amount of any asset purchased with grant fund

Each item is also physically tagged in a visible area on the item and with an indication of whether the item belongs to the School or a governmental agency (i.e. purchased with grants such as Department of Youth and Community Development).

Disposition of Assets

For assets purchased with federal funds the School must request disposition instructions from the federal awarding agency when required.

Otherwise, may be retained, sold or otherwise disposed as follows:

- Over \$5,000 – pay federal share
 - If equipment is sold: Federal awarding agency may permit non-Federal entity to deduct and retain \$500 or 10% of the proceeds for selling and handling instructions.
- Under \$5,000 – no accountability (still must formally dispose)

No employee may use or remove any of the School property, equipment, material or supplies for personal use without the prior approval of the Principal or Assistant Principal of Operations.

The Operations Lead performs inventory audits every 2 years (in addition, documented inventory audit is required if assets are purchased with federal funds), verifying and updating the data contained in the Fixed Asset Tracking List. The Fixed Asset Tracking List is reconciled to the General Ledger by the Assistant Principal of Operations with the assistance of the Financial Consultants.

Depreciation Policy

Depreciation associated with fixed assets is calculated based on the asset's useful life using the straight-line depreciation method. Depreciation is based on the month the item was actually purchased. For instance, if the School purchased a computer in July, it would be depreciated for a full fiscal year (12 months out of 12), and recorded as such. But if the School purchased the computer in April, then it would be depreciated for just one-fourth of the fiscal year (3 months out of 12) because it would only be in service for April, May and June.

Any item that is damaged, sold, lost or stolen will be taken out of service and written off. For assets purchased with federal funds for over \$5,000 the School must request disposition instructions from the federal awarding agency.

Depreciation Policy	
Computers	3 years
Furniture and Fixtures	7 years
Office and Classroom Equipment	5 years
Leasehold improvements	Shorter of: 1) the useful life of the leasehold improvements, or 2) the <u>remaining</u> years of the lease
Musical Instruments	3 years

DEBT

Board approval (as documented in the board meeting minutes) is required for incurring any loans, notes or lines of credit with financial institutions for the School. The Board Chairperson, and the Assistant Principal of Operations with direction and approval from the Board Chairperson, will be authorized to negotiate the debt on behalf of the board. Two signatures (Board Member and Principal) are required for all approved debt agreements.

Any loan covenants and restrictions will be reported to the full Board when the debt is authorized. The Assistant Principal of Operations, Financial Consultants, and Auditors will periodically review these covenants and report to the Board of Trustees if there are any violations or potential violations of the covenants.

The Financial Consultants will reconcile the general ledger debt balances to statements or amortization schedules each month.

CONTRACTS AND LEASES

The Principal, with support from the Assistant Principal of Operations as needed, will be authorized to negotiate contracts and leases according to the table below and in alignment with the aforementioned purchase approval and check signing processes.

Contract \$ Value/Range	Required Approval and Signatures for Contracts
\$19,999 and Below	Principal
\$20,000 and Above	Principal and Designated Board Officer

The Assistant Principal of Operations, Financial Consultants, and Auditors will periodically review contract covenant/details and report to the Board of Trustees if there are any violations or potential violations of the covenants. The Assistant Principal of Operations and Financial Consultants will ensure that the appropriate accounting entries are made to properly reflect the obligations of the contract in conformity with accounting principles generally accepted in the United States of America.

Utilization of Independent Contractors/Consultants

- When the School makes the choice to utilize an independent contractor, it first ensures that the individual does qualify as an independent contractor and should not be categorized as a regular employee.
- The School will maintain a written contract with the contractor/consultant.
- The School must obtain Form W-9 from the contractor/consultant prior to issuance of the first payment for services provided.
- In all cases where total payment exceeds \$600.00 in a calendar year, the School will issue IRS form 1099-Misc, as required by law.

IRS FORM 990 PREPARATION AND FILING

The preparation of the School's IRS Form 990 and CHAR500 (if required) will be contracted out to the independent accountants. The Assistant Principal of Operations and Financial Consultants will be responsible for providing the information needed to prepare the report.

The Assistant Principal of Operations and Financial Consultants will review the 990 draft. Any changes are communicated to the independent accountants and a revised draft is then forwarded to Board designee. The Board of Trustees must approve the IRS Form 990 prior to filing. The 990 must be signed by the Board Chairperson or Board Treasurer.

INSURANCE COVERAGE

The School maintains insurance policies such as: Property, Business Interruption, Inland Marine, Crime, Automobile, General Liability, Directors' & Officers', Umbrella Liability, Student Accident, Catastrophic Student Accident, and Worker's Comp.

The Assistant Principal of Operations and the Principal will conduct an annual review of scope and amount of coverage. The purpose of this review will be to ensure there are adequate means to preserve the School's assets and lower the risk of being underinsured. New policies will be executed by the Principal. The Assistant Principal of Operations is responsible for procuring annual renewals with the School's insurance broker at least one month in advance of a policy's expiration. The Assistant Principal of Operations maintains original copies of all insurance policies at the School.

Any vendor (including Independent Consultants) doing business on School grounds (e.g. food service, construction, maintenance, etc.) or with School's students (e.g. bus company) must carry adequate insurance that satisfies the School's requirements and must issue a certificate of insurance that names the School as Additional Insured's. The Assistant Principal of Operations is responsible for obtaining this before the vendor's service can commence.

RECORDS RETENTION

Records Retention Policy

All confidential paper records shall be maintained in locked facilities on School premises. The School has an established Disaster Recovery Policy. Annex 2 contains a table which provides the minimum requirements for records retention, as recommended by the Non-Profit Coordinating Committee of New York, www.npccny.org:

The following corporate documents are maintained on-site or stored electronically:

- a. Charter and all related amendments;
- b. Minutes of the Board of Trustees and subcommittees meetings;
- c. Banking documents;
- d. Leases;
- e. Insurance policies;
- f. Vendor invoices;
- g. Grant and contract agreements;

- h. Fixed asset inventory list; and
- i. Tax returns and correspondence

Records Access Policy

The Assistant Principal of Operations will provide access to the School's records, as requested by auditors to facilitate the completion of such audits or reviews, in a timely manner.

Records Destruction Policy

Once School records have reached the conclusion of their retention period according to the Records Retention Policy, the office of origin will request authorization from the Principal for their destruction. If any litigation, claim, or audit is started before the expiration of the designated retention period, the records shall be retained until all litigation, claims, or audit findings involving the records have been resolved and final action taken. The School will arrange for the safe and secure destruction of confidential records. Destruction methods will not permit recovery, reconstruction and/or future use of confidential information. An overview of these methods follows:

- Paper records containing sensitive confidential information **must** be shredded and not disposed of with other waste.
- Electronic or digital data containing sensitive confidential information must be purged from the computer systems in the following manner; 1) Deletion of the contents of digital files and emptying of the desktop "trash" or "waste basket." 2) Use of purchased software applications to remove all data from the storage device.
- It is recommended that sensitive confidential data stored on removable storage devices should be physically destroyed.

FRAUD AND MISAPPROPRIATION

The School will not tolerate any fraud or suspected fraud involving employees, officers or trustees, as well as members, vendors, consultants, contractors, funding sources and/or any other parties with a business relationship with the School.

The Assistant Principal of Operations, Principal and Board of Trustees are responsible for the detection and prevention of fraud, misappropriations, and other irregularities. Fraud is defined as the intentional, false representation or concealment of a material fact for the purpose of inducing another to act upon it to his or her injury.

Actions Constituting Fraud

The term fraud, defalcation, misappropriation, and other fiscal irregularities refer to, but are not limited to:

- Any dishonest or fraudulent act
- Forgery or alteration of any document or account belonging to the School
- Misappropriation of funds, supplies, equipment, or other assets of the School
- Impropriety in the handling or reporting of money or financial transactions
- Disclosing confidential and proprietary information to outside parties
- Accepting or seeking anything of material value from contractors, vendors, or persons providing goods or services to the School
- Destruction, removal, or inappropriate use of records, furniture, fixtures, and equipment

Reporting and Confidentiality

The Board of Trustees will treat all information received confidentially. Any fraud that is detected or suspected must be reported immediately to the Board of Trustees for further action. The employee or other complainant may remain anonymous. The outcome of an investigation will not be disclosed or discussed with anyone other than those who have a legitimate need to know.

Investigation Responsibilities

The Board of Trustees has the primary responsibility for the investigation of all suspected fraudulent acts as defined in the policy. The Board of Trustees may utilize whatever internal and/or external resources it considers necessary in conducting an investigation. If an investigation substantiates that fraudulent activities have occurred, the Board of Trustees will take and document proper action up to and including criminal prosecution.

WHISTLEBLOWER POLICY

The School is committed to operating in furtherance of its tax-exempt purposes and in compliance with all applicable laws, rules, and regulations, including those concerning accounting and auditing, and prohibits fraudulent practices by any of its trustees, officers, and employees. This Policy applies to any matter related to the School's business and does not relate to private acts of an individual not connected to the business of the School. Further, this policy is intended to encourage and enable trustees, officers and employees to raise serious concerns within the School prior to seeking resolution outside the School.

Reporting Responsibility

It is the purpose of this policy to encourage trustees, officers or employees to report information that they reasonably and in good faith believe to be in violation of the Code of Ethics, the Policy on Conflict of Interests, applicable law or regulation, to a member of the Board of Trustees and (add a second person), in writing stating in detail the basis for belief of the violation or suspected violation.

No Retaliation

No individual who in good faith reports a violation or suspected violation shall suffer harassment, retaliation, or adverse employment consequence. An individual who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment or membership.

Reporting Violations

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

Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

Handling of Reported Violations

The Assistant Principal of Operations will notify the sender and acknowledge receipt of the reported violation or suspected violation. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

The Board of Trustees shall take prompt action to assist in properly investigating the report of the alleged violation.

A copy of the Whistleblower policy will be distributed to all trustees, officers and employees.

CODE OF ETHICS

The Board of Trustees recognizes that sound, ethical standards of conduct increase the effectiveness of the School's governing body and staff as educational leaders in the community. Actions based on an ethical code of conduct promote public confidence in the School and the attainment of its goals. The Board also recognizes its obligation under the General Municipal Law to adopt a code of ethics consistent with the provisions of this law, setting forth the standards of conduct required of all Trustees, Officers and employees. Unless otherwise defined herein, terms have the meanings given in the By-laws of the School (the "By-laws").

Therefore, every Trustee, Officer, and employee of the School, whether paid or unpaid, shall adhere to the following code of conduct:

1. Management of the School: The Board of Trustees shall conduct or direct the affairs of the School and exercise its powers subject to the provisions of applicable law, as well as the

requirements set forth in the School's charter and by-laws. The Board may delegate aspects of the management of school activities to others, so long as the affairs of the school are managed, and its powers are exercised, under the Board's ultimate jurisdiction.

2. Gifts: A Trustee, Officer, or employee shall not directly or indirectly solicit any gifts from the School; nor shall a Trustee, Officer or employee accept or receive any single gift having a value of \$100 or more, whether in the form of money, services, loan, travel, entertainment, hospitality, or any other form. Gifts from children that are principally sentimental in nature and of insignificant financial value may be accepted in the spirit in which they are given.
3. Gratuities and Kickbacks: No employee (or anyone under their direct supervision) may solicit, demand, accept, or agree to a gratuity, kickback, or an offer of employment in connection with a business transaction. Such transactions include, but are not limited to, approvals on purchase requests, influencing the content of any procurement standard, auditing, or rendering of advice.
4. Confidential Information: A Trustee, Officer, or employee shall not disclose confidential information acquired by him or her in the course of his or her official duties or use such information to further his or her own personal interest. In addition, he/she shall not disclose information regarding any matters discussed in an executive session of the Board, whether such information is deemed confidential or not.
5. Representation before the Board: A Trustee, Officer, or employee shall not receive or enter into any agreement, express or implied, for compensation for services to be rendered in relation to any matter before the Board of Trustees, whereby the compensation is to be dependent or contingent upon any action by the School with respect to such matter, provided that this paragraph shall not prohibit the fixing at any time of fees based upon the reasonable value of the services rendered.
6. Participation in Board Discussions and Votes: Every Trustee has the right to participate in the discussion and vote on all issues before the Board or any Board Committee, except that any Trustee shall recuse him or herself from the discussion and/or vote on any matter involving such Trustee relating to: (a) a "self-dealing transaction" (see below) or (b) a potential Conflict of Interest (as defined in the Conflict of Interest Policy).
7. Self-dealing Transactions: Neither members of the Board nor the employees of the School shall engage in any "self-dealing transactions," except as approved by the Board and in compliance with the Conflict of Interest Policy. "Self-dealing transaction" means a transaction to which the School is a party and in which one or more of the individual Trustees, officers, or employees has a financial interest.
8. Disclosure of interest in matters before the Board: Under no circumstance will an employee of the School initiate, participate, or benefit in any way from negotiating a contract or purchase of goods or services in which he/she, a relative, or an associate has financial

interest. If an actual or potential conflict of interest is discovered, the employee must immediately withdraw from further participation in the involved transaction and report the transaction to the Board or Board Chairperson.

9. Investments in Conflict with Official Duties: A Trustee, officer, or employee shall not invest or hold any investment directly in any financial, business, commercial or other private transaction that creates a conflict with his or her official duties, except as approved by the Board and in compliance with the Conflict of Interest Policy.
10. Private employment: A Trustee, Officer, or employee shall not engage in, solicit, negotiate for, or promise to accept private employment when that employment or service creates a conflict with or impairs the proper discharge of his or her official duties.

Distribution of Code of Ethics

A copy of this Code of Ethics is to be distributed annually to every Trustee, Officer, and employee of the School. Each Trustee, Officer, and employee elected or appointed thereafter shall be furnished a copy before entering upon the duties of his or her office or employment.

Reprimands and Penalties

In addition to any penalty contained in any other provision of law, any person who knowingly and intentionally violates any of the provisions of the Board's Code of Ethics may be fined, suspended, or removed from office or employment, as the case may be, in the manner provided by law.

CONFLICT OF INTEREST

Interested Person

The General Municipal Law defines prohibited conflicts of interest for school trustees, officers and employees.

Under the General Municipal Law, no school officer or employee may have an interest, direct or indirect, in any contract with the School, when such officer, trustee, or employee, individually or as a member of the Board, has the power or duty to (a) negotiate, prepare, authorize or approve the contract, or authorize or approve payment under the contract; (b) audit bills or claims under the contract; or (c) appoint an officer or employee who has any of the powers or duties set forth above.

Financial Interest

A person has a financial interest if the person has, directly or indirectly, through business, investment, or family:

- An ownership or investment interest, other than de minimis, in any entity with which the

School has a transaction or arrangement,

- A compensation arrangement with the School or with any entity or individual with which the School has a transaction or arrangement, or
- A potential ownership or investment interest, other than de minimis, in, or compensation arrangement with, any entity or individual with which the School is negotiating a transaction or arrangement. Compensation includes direct and indirect remuneration as well as gifts or favors having a value of \$100.00 or more whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise or in any other form, under circumstances in which it could reasonably be inferred that the gift was intended to or could reasonably be expected to influence the performance of a trustee, official or employee in his/her official duties, or was intended as a reward for any official action.

Duty to Disclose

Any trustee, officer or employee who has, will have, or later acquires an interest in any actual or proposed contract with the Board must publicly disclose the nature and extent of such interest in writing to the directors and members of committees with governing board delegated powers considering the proposed transaction or arrangement.

Determining Whether a Conflict of Interest Exists

A financial interest is not necessarily a conflict of interest. A person who has a financial interest may have a conflict of interest only if the appropriate governing board or committee decides that a conflict of interest exists. After disclosure of the financial interest and all material facts, and after any discussion with the interested person, he/she shall leave the governing board or committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining board or committee members shall decide if a conflict of interest exists.

Notwithstanding anything herein, the following contracts are exempt from this policy, including but not limited to, employment contracts between the school and a board member or employee's spouse, minor children or dependents; a contract between the school and a corporation of which the board member or employee is neither a director nor owns more than five percent of outstanding stock; a contract between the school and a board member or employee entered into preceding the election of the board member but not the renewal/renegotiation of that contract; a contract between the school and a board member or employee in which the total paid does not exceed \$750.00 during the fiscal year when added to the aggregate amount of consideration payable under all contracts pertaining to that individual; a contract between the school and a company that employs a board member or employee where the individual's compensation is not directly affected as a result of the contract and the duties of the individual's employment do not directly involve the procurement, preparation or performance of such a contract; and purchases, in the aggregate amount of Five Thousand Dollars (\$5,000) or less in any single calendar year. No review or action by any governing board or committee shall be necessary if an exception applies.

Procedures for Addressing a Conflict of Interest

An interested person may make a presentation at the governing board or committee meeting,

but after the presentation, he/she shall leave the meeting during the discussion of, and the vote on, the transaction or arrangement involving the possible conflict of interest.

The chairperson of the governing board or committee shall, if appropriate, appoint a disinterested person or committee to investigate alternatives to the proposed transaction or arrangement.

After exercising due diligence, the governing board or committee shall determine whether the School can obtain with reasonable efforts a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.

If a more advantageous transaction or arrangement is not reasonably possible under circumstances not producing a conflict of interest, the governing board or committee shall determine by a majority vote of the disinterested directors whether the transaction or arrangement is in the School's best interest, for its own benefit, and whether it is fair and reasonable. In conformity with the above determination it shall make its decision as to whether to enter into the transaction or arrangement.

Violations of the Conflicts of Interest Policy

If the governing board or committee has reasonable cause to believe a trustee, officer or employee has failed to disclose actual or possible conflicts of interest, it shall inform the trustee, officer or employee of the basis for such belief and afford the member an opportunity to explain the alleged failure to disclose.

If, after hearing the trustee, officer or employee's response and after making further investigation as warranted by the circumstances, the governing board or committee determines the trustee, officer or employee has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.

Any contract entered into with a prohibited interest is null, void and unenforceable. Further any trustee, officer, or employee who willfully and knowingly violates this policy shall be guilty of a misdemeanor.

Records of Proceedings

The minutes of the governing board and all committees with board delegated powers shall contain:

- The names of the persons who disclosed or otherwise were found to have a financial interest in connection with an actual or possible conflict of interest, the nature of the financial interest, any action taken to determine whether a conflict of interest was present, and the governing Board's or committee's decision as to whether a conflict of interest in fact existed.
- The names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to

the proposed transaction or arrangement, and a record of any votes taken in connection with the proceedings.

Compensation

A voting member of the governing board who receives compensation, directly or indirectly, from the School for services is precluded from voting on matters pertaining to that member's compensation.

A voting member of any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the School for services is precluded from voting on matters pertaining to that member's compensation.

A voting member of the governing board or any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the School, either individually or collectively, is prohibited from providing information to any committee regarding compensation.

Annual Statements

Each trustee, officer, and employee shall annually sign a statement which affirms such person:

- Has received a copy of the Code of Ethics and Policy on Conflicts of Interest,
- Has read and understands the Code of Ethics and Policy,
- Has agreed to comply with the Code of Ethics and Policy, and
- Understands the School is charitable and in order to maintain its federal tax exemption it must engage primarily in activities which accomplish one or more of its tax-exempt purposes.

Periodic Reviews

To ensure the School operates in a manner consistent with charitable purposes and does not engage in activities that could jeopardize its tax-exempt status, periodic reviews shall be conducted. The periodic reviews shall, at a minimum, include the following subjects:

- Whether compensation arrangements and benefits are reasonable, based on competent survey information and the result of arm's length bargaining.
- Whether partnerships, joint ventures, and arrangements with management organizations conform to the School's written policies, are properly recorded, reflect reasonable investment or payments for goods and services, further charitable purposes and do not result in inurement, impermissible private benefit or in an excess benefit transaction.

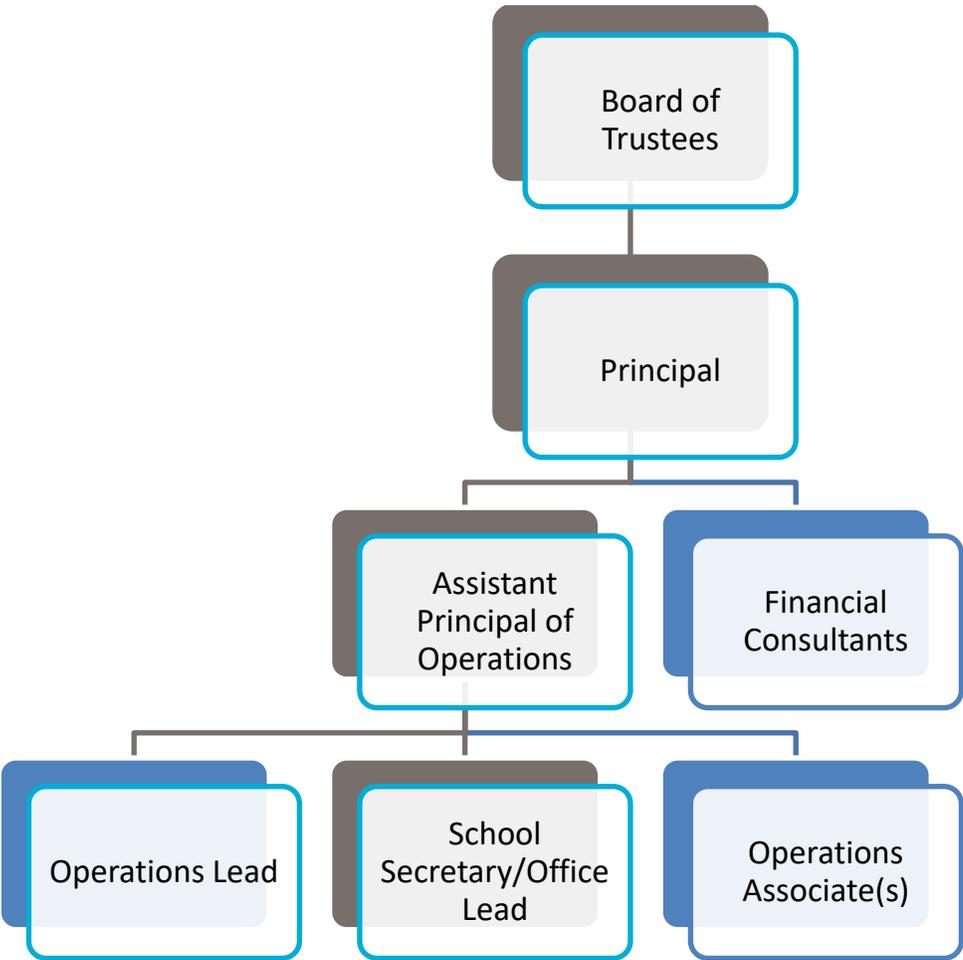
CONFIDENTIALITY

Confidential information includes all information gained during employment or service with the School that is not common knowledge including, but not limited to, student records, personnel records, financial or donation information (including donation lists, donor information, potential donors or business contacts.) All Trustees, Officers, and employees must keep such information confidential.

Information about children, families, and employees should be used in a professional manner, only with those who have a business-related need-to-know, and should never be used as a topic of casual conversation or gossip.

Before the end of a term of service or employment with the School, Trustees, Officers and employees must return to the School all Confidential Information without retaining it in any form. All other documents, data, manuals, security keys, and other items which are the School's property and which may be in the individual's possession or control should also be returned at this time. Any Confidential Information that cannot be returned must be destroyed.

Annex 1: Finance Team



Annex 2: Requirements for Record Retention

Item	Retention Period
Bank Statements & Reconciliations	7 Years
Cancelled Checks - (Important Payments - purchases of property, tax payments, large or significant contracts)	Permanent
Cancelled Checks - (Ordinary)	7 Years
Cash Books	Permanent
Cash Receipts and Disbursements	7 Years
Construction Documents	Permanent
Contracts and Leases (Current)	Permanent
Contracts and Leases (Expired)	7 Years
Corporate - Articles of Incorporation & By Laws	Permanent
Corporate - Certificate of Incorporation and Related Legal or Government Documents	Permanent
Corporate - Minutes of Board & Committee Meetings, etc.	Permanent
Correspondence (General)	3 Years
Correspondence (Legal / Important)	Permanent
Duplicate Bank Deposit Slips	3 Years
Email	5 Years
Employee Assignments and Garnishments	7 Years
Employee Benefit Plan Documents	7 Years
Employee Payroll Records	7 Years
Employee Payroll Reports (Federal, State or City Gov't)	7 Years
Employee Personnel Records (After Termination)	7 Years
Employee Personnel Records (Current)	Permanent
Employee Retirement & Pension Records	Permanent
Employee Timesheets	7 Years
Employee Workman's Compensation Documents	11 years
Employment Applications (Current Employees)	Permanent
Employment Applications (Other)	1 Year
Finance - Accounts Payable Ledgers and Schedules	7 Years

Finance - Accounts Receivable Ledgers and Schedules	7 Years
Finance - Audit Reports of Independent Accountants	Permanent
Finance - Chart of Accounts	Permanent
Finance - Depreciation Schedules	Permanent
Finance - Expense Analyses & Distribution Schedules	7 Years
Finance - Financial Statements (incl. Trial Balances)	Permanent
Finance - Fixed Asset Records & Appraisals	Permanent
Finance - General Ledgers	Permanent
Finance - Subsidiary Ledgers	Permanent
Finance - Tax Return Worksheets	7 Years
Finance - Tax Returns	Permanent
Finance - Uncollectible Accounts & Write-offs	7 Years
Finance - W-2 / W-4 / 1099 Forms, etc.	7 Years
Grant Inquiries	7 Years
Insurance - Accident Reports and Claims (Current Cases)	Permanent
Insurance - Accident Reports and Claims (Settled Cases)	Permanent
Insurance - Policies (Current)	Permanent
Insurance - Policies (Expired)	Permanent
Inventories	7 Years
Invoices from Vendors	7 Years
Invoices to Customers	7 Years
Notes Receivable Ledgers	7 Years
Paid Bills & Vouchers	7 Years
Patents & Related Papers	Permanent
Physical Inventory Tags	7 Years
Property Appraisals	Permanent
Property Documents - Deeds, Mortgages, etc.	Permanent
Stock and Bond Certificates (Cancelled)	7 Years
Stock and Bond Records	Permanent
Vendor Payment Request Forms & Supporting Documents	7 Years
Voucher Registers & Schedules	7 Years



**New School Proposal
Budget(s) & Cash Flow(s) Template**

University Prep Public Schools, Inc.

Contact Name: Ms. Andrea d'Amato
Contact Title: UPPS Superintendent
Contact Email: enter email address
Contact Phone: enter phone number

First Academic Year: 2019-20

Pre-Opening Period: July 1, 2018 - June 30, 2019

Note: For pre-opening period if the RFP submission date is:

- a) less than 1 year from the "First Academic Year," select the January through June date range.
- b) 1 year or more before the "First Academic Year," select the July through June date range.

UNIVERSITY PREP PUBLIC SCHOOLS, INC.
2019-20 through 2023-24

CHARTER ENROLLMENT BY GRADE							
GRADES	LEVEL	2019-20	2020-21	2021-22	2022-23	2023-24	AGE RANGE
Kindergarten	Elementary School						
1st Grade	Elementary School						
2nd Grade	Elementary School						
3rd Grade	Elementary School						
4th Grade	Elementary School						
5th Grade	Middle School	60	60	90	90	124	10-12
6th Grade	Middle School	124	124	124	124	124	11-13
7th Grade	Middle School		124	124	124	124	12-14
8th Grade	Middle School			124	124	124	13-15
9th Grade	High School	110	110	110	110	110	14-16
10th Grade	High School	110	110	110	110	110	15-17
11th Grade	High School	110	110	110	110	110	16-18
12th Grade	High School	100	100	100	100	100	17-19
Ungraded							
TOTAL		614	738	892	892	926	

NUMBER OF CLASSES BY GRADE						
GRADES	LEVEL	2019-20	2020-21	2021-22	2022-23	2023-24
Kindergarten	Elementary School					
1st Grade	Elementary School					
2nd Grade	Elementary School					
3rd Grade	Elementary School					
4th Grade	Elementary School					
5th Grade	Middle School	2	2	3	3	4
6th Grade	Middle School	4	4	4	4	4
7th Grade	Middle School		4	4	4	4
8th Grade	Middle School			4	4	4
9th Grade	High School	4	4	4	4	4
10th Grade	High School	4	4	4	4	4
11th Grade	High School	4	4	4	4	4
12th Grade	High School	4	4	4	4	4
Ungraded						
TOTAL		22	26	31	31	32

AVERAGE NUMBER OF STUDENTS PER CLASS BY GRADE						
GRADES	LEVEL	2019-20	2020-21	2021-22	2022-23	2023-24
Kindergarten	Elementary School	0	0	0	0	0
1st Grade	Elementary School	0	0	0	0	0
2nd Grade	Elementary School	0	0	0	0	0
3rd Grade	Elementary School	0	0	0	0	0
4th Grade	Elementary School	0	0	0	0	0
5th Grade	Middle School	30	30	30	30	31
6th Grade	Middle School	31	31	31	31	31
7th Grade	Middle School	0	31	31	31	31
8th Grade	Middle School	0	0	31	31	31
9th Grade	High School	28	28	28	28	28
10th Grade	High School	28	28	28	28	28
11th Grade	High School	28	28	28	28	28
12th Grade	High School	25	25	25	25	25
Ungraded		0	0	0	0	0

SUMMARY AND OTHER INFORMATION						
Total Elementary Enrollment		-	-	-	-	-
Total Middle School Enrollment		184	308	462	462	496
Total High School Enrollment		430	430	430	430	430
Total Ungraded Enrollment		-	-	-	-	-
Total Enrollment		614	738	892	892	926
Change in Net Enrollment from Prior Year (Count)		614	124	154	-	34
Change in Net Enrollment from Prior Year (Percent)		100.0%	20.2%	20.9%	0.0%	3.8%
Anticipated rate of attrition (Percent)		3.0%	3.0%	3.0%	3.0%	3.0%

ADDITIONAL NOTES/COMMENTS

UPCMS will serve students in grades 5 and 6 in Year 1. Grade 5 will enroll two classes of up to 30 students. Grade 6 will enroll 4 classes of up to 31 students. In Year 2, UPCMS will add grade 7. In Year 3, we will add Grade 8, and a third class to grade 5, increasing enrollment to 462 students. In Year 5, we will reach maximum enrollment of 496 students serving 4 classes in each of grades 5 through 8. We conservatively estimate annual student attrition of three percent.

ESTIMATED ENROLLMENT BY DISTRICT					
ANNUAL ENROLLMENT BY DISTRICT TOTALS	614	738	892	892	926
Enrollment by Grade vs Enrollment by District (should =	-	-	-	-	-

ENTER NUMBER OF SCHOOL DISTRICTS ANTICIPATED	1
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PRIMARY SENDING SCHOOL DISTRICT	NYC CHANCELLOR'S OFFICE	2019-20	2020-21	2021-22	2022-23	2023-24
DISTRICT'S ANNUAL TOTAL OPERATING BUDGET		\$ 30,800,000,000	\$ 30,800,000,000	\$ 30,800,000,000	\$ 30,800,000,000	\$ 30,800,000,000
ENROLLMENT (Charter School)		614	738	892	892	926
DESCRIPTION OF SOURCE FOR DISTRICT'S OPERATING BUDGET (Include web address if available)	Source: http://schools.nyc.gov/AboutUs/funding/overview/default.htm . NYCDOE projects a budget of \$30.8 billion for the 2017-2018 school year.					

SECONDARY SENDING SCHOOL	Select from drop-down list →	2019-20	2020-21	2021-22	2022-23	2023-24
DISTRICT'S ANNUAL TOTAL OPERATING BUDGET		\$ -	\$ -	\$ -	\$ -	\$ -
ENROLLMENT (Charter School)						
DESCRIPTION OF SOURCE FOR DISTRICT'S OPERATING BUDGET (Include web address if available)						

UNIVERSITY PREP PUBLIC SCHOOLS, INC.

STAFFING PLAN FTE	Acad Years	Year 1	Year 2	Year 3	Year 4	Year 5
	Grades	2019-20	2020-21	2021-22	2022-23	2023-24
	Enrollment	5-6, 9-12	5-7, 9-12	5-12	5-12	5-12
		614	738	892	892	926

***NOTE:** Enter the number of planned full-time equivalent ("FTE") positions in each category for each charter year in the section provided below.

***NOTE:** State the assumptions that are being made for personnel FTE levels in the section provided below.

ADMINISTRATIVE PERSONNEL FTE	FTE					Description of Assumptions
Executive Management	1.0	1.0	1.0	1.0	1.0	Salary Allocation to Superintendent is TBD. (Base Year 1 assumption is .25 (rounded up to .3). HS: 1 Principal
Instructional Management	3.0	3.0	3.0	3.0	3.0	One building principal serving as Academic Leader; HS: One building principal serving as Academic Leader at Middle School; 1 AP of Instruction at HS.
Deans, Directors & Coordinators	1.0	1.0	1.0	1.0	1.0	One Dean of School Culture & Dean of Instruction at UPCMS.
CFO / Director of Finance	0.0	0.0	0.0	0.0	0.0	
Operation / Business Manager	3.0	3.0	3.0	3.0	3.0	One Director of Operations/Business Manager; HS: 1 Director of Ops
Administrative Staff	6.0	6.0	6.0	7.0	7.0	2 Administrative Assistants in Year 1 to support Admin Dean & D Ops; HS:5 Ops Associates
TOTAL ADMINISTRATIVE STAFF	14.0	14.0	14.0	15.0	15.0	

INSTRUCTIONAL PERSONNEL FTE	FTE					Description of Assumptions
Teachers - Regular	28.0	35.0	40.0	47.0	52.0	Subject Area Classroom Teachers (3-4 core teachers per grade) + Foreign Language teachers; HS: 22 Teachers
Teachers - SPED	7.0	8.0	9.0	9.0	10.0	Special Education Teachers New staff hires will be made in Years 2, 3 and 5 to align with increasing student enrollment; HS: 6 SPED Teachers Reserve fund to pay substitute teachers
Substitute Teachers	0.0	0.0	0.0	0.0	0.0	N/A
Teaching Assistants	0.0	0.0	0.0	0.0	0.0	N/A
Specialty Teachers	11.0	11.0	12.0	12.0	13.0	Specialists for Art, Music, Dance, PE, and/or Technology; HS: 8 Physical Ed, Spanish, Tech, Art & SAT Prep Teachers
Aides	0.0	0.0	0.0	0.0	0.0	N/A
Therapists & Counselors	7.0	7.0	9.0	9.0	9.0	1 Social Worker and Coordinated Guidance Services with UPCHS; HS: 4 Guidance Counselors & 1 College Counselor
Other	0.0	0.0	0.0	0.0	0.0	
TOTAL INSTRUCTIONAL	53.0	61.0	70.0	77.0	84.0	

NON-INSTRUCTIONAL PERSONNEL FTE	FTE					Description of Assumptions
Nurse	0.0	0.0	0.0	0.0	0.0	
Librarian	0.0	0.0	0.0	0.0	0.0	
Custodian	0.0	0.0	0.0	0.0	0.0	UPCMS will seek co-located space. (Custodian for private space only.)
Security	0.0	0.0	0.0	0.0	0.0	UPCMS will seek co-located space. (Security for private space only.)
Other	0.0	0.0	0.0	0.0	3.0	UPCMS will seek co-located space. (Cafeteria staff for private space only).
TOTAL NON-INSTRUCTIONAL	0.0	0.0	0.0	0.0	3.0	

TOTAL PERSONNEL SERVICE FTE	67.0	75.0	84.0	92.0	102.0	
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UNIVERSITY PREP PUBLIC SCHOOLS, INC.

STAFFING PLAN WAGES	Acad Years	Year 1	Year 2	Year 3	Year 4	Year 5
		2019-20	2020-21	2021-22	2022-23	2023-24
	Grades	5-6, 9-12	5-7, 9-12	5-12	5-12	5-12
	Enrollment	614.00	738.00	892.00	892.00	926.00

***NOTE:** Enter the proposed average salary for each category and the anticipated yearly increase percentages in the section provided below.

***NOTE:** Concisely state the assumptions that are being made for personnel wages in the section provided below.

	WAGES					
	Salary/Incr %	2.00%	2.00%	2.00%	2.00%	2.00%
ADMINISTRATIVE PERSONNEL WAGES						
Executive Management	\$ 200,000	\$ 200,000	\$ 204,000	\$ 208,080	\$ 212,242	\$ 216,486
Instructional Management	\$ 135,000	\$ 405,000	\$ 413,100	\$ 421,362	\$ 429,789	\$ 438,385
Deans, Directors & Coordinators	\$ 130,000	\$ 130,000	\$ 132,600	\$ 135,252	\$ 137,957	\$ 140,716
CFO / Director of Finance	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Operation / Business Manager	\$ 105,000	\$ 315,000	\$ 321,300	\$ 327,726	\$ 334,281	\$ 340,966
Administrative Staff	\$ 55,000	\$ 330,000	\$ 336,600	\$ 343,332	\$ 405,199	\$ 413,303
TOTAL ADMINISTRATIVE STAFF		\$ 1,380,000	\$ 1,407,600	\$ 1,435,752	\$ 1,519,467	\$ 1,549,856

Description of Assumptions
Assumes 2% increase consistent with existing CBA. All projected salaries reflect existing structures collectively bargained by the education corporation and the teacher's union.
UPCMS may pay a portion of Superintendent salary.
Projected Year 1 salary, based on existing UPCHS salary schedules.
Projected Year 1 salary, based on existing UPCHS salary schedules.
Projected Year 1 salary, based on existing UPCHS salary schedules.
Projected Year 1 salary, based on existing UPCHS salary schedules.
Projected Year 1 salary, based on existing UPCHS salary schedules.
Projected Year 1 salary, based on existing UPCHS salary schedules.

INSTRUCTIONAL PERSONNEL WAGES						
	Salary/Incr %	2.00%	2.00%	2.00%	2.00%	2.00%
Teachers - Regular	\$ 102,000	\$ 2,856,000	\$ 3,627,120	\$ 4,209,662	\$ 5,007,856	\$ 5,618,013
Teachers - SPED	\$ 107,826	\$ 754,782	\$ 877,704	\$ 1,003,084	\$ 1,023,145	\$ 1,151,434
Substitute Teachers	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Teaching Assistants	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Specialty Teachers	\$ 110,461	\$ 1,215,071	\$ 1,239,372	\$ 1,374,621	\$ 1,402,113	\$ 1,540,617
Aides	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Therapists & Counselors	\$ 105,500	\$ 738,500	\$ 753,270	\$ 979,335	\$ 998,922	\$ 1,018,901
Other	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL INSTRUCTIONAL		\$ 5,564,353	\$ 6,497,466	\$ 7,566,702	\$ 8,432,036	\$ 9,328,964

Projected Year 1 salary, based on existing UPCHS salary schedules.
Projected Year 1 salary, based on existing UPCHS salary schedules.
Projected Year 1 salary, based on existing UPCHS salary schedules.
Projected Year 1 salary, based on existing UPCHS salary schedules.
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Projected Year 1 salary, based on existing UPCHS salary schedules.
Projected Year 1 salary, based on existing UPCHS salary schedules.
Projected Year 1 salary, based on existing UPCHS salary schedules.

NON-INSTRUCTIONAL PERSONNEL WAGES						
	Salary/Incr %	2.00%	2.00%	2.00%	2.00%	2.00%
Nurse	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Librarian	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Custodian	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Security	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL NON-INSTRUCTIONAL		\$ -	\$ -	\$ -	\$ -	\$ -

TOTAL PERSONNEL SERVICE WAGES		\$ 6,944,353	\$ 7,905,066	\$ 9,002,454	\$ 9,951,503	\$ 10,878,821
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UNIVERSITY PREP PUBLIC SCHOOLS, INC.
PROJECTED BUDGET / OPERATING PLAN FOR PRE-OPENING PERIOD
July 1, 2018 - June 30, 2019

**NOTE: Please enter financial data on either tab "5.) Pre-OP Cash Flow 6-Month" OR "6) Pre-OP Cash Flow 1-Year."
The pre-opening budget will be for either a 6-Month Period OR a 1-Year Period as selected on tab #1, School Information.*

		DESCRIPTION OF ASSUMPTIONS
Total Revenue	225,000	
Total Expenses	449,198	
Net Income	(224,198)	
		START-UP PERIOD
REVENUE		
REVENUES FROM STATE SOURCES		
Grants		
Stimulus	-	
DYCD (Department of Youth and Community Developmt.)	-	
Other	-	
Other	-	
TOTAL REVENUE FROM STATE SOURCES	-	
REVENUE FROM FEDERAL FUNDING		
Grants		
Charter School Program (CSP) Planning & Implementation	225,000	Assumes 90% of \$250K CSP Pre-Opening Allocation
Other	-	
Other	-	
TOTAL REVENUE FROM FEDERAL SOURCES	225,000	
LOCAL and OTHER REVENUE		
Contributions and Donations		
Fundraising	-	
Erate Reimbursement	-	
Earnings on Investments	-	
Interest Income	-	
Food Service (Income from meals)	-	
Text Book	-	
OTHER	-	
TOTAL REVENUE FROM LOCAL and OTHER SOURCES	-	
TOTAL REVENUE	225,000	

UNIVERSITY PREP PUBLIC SCHOOLS, INC.
PROJECTED BUDGET / OPERATING PLAN FOR PRE-OPENING PERIOD
July 1, 2018 - June 30, 2019

**NOTE: Please enter financial data on either tab "5.) Pre-OP Cash Flow 6-Month" OR "6) Pre-OP Cash Flow 1-Year."
The pre-opening budget will be for either a 6-Month Period OR a 1-Year Period as selected on tab #1, School Information.*

DESCRIPTION OF ASSUMPTIONS

Total Revenue	225,000	
Total Expenses	449,198	
Net Income	(224,198)	
START-UP PERIOD		

EXPENSES

ADMINISTRATIVE STAFF PERSONNEL COSTS

	FTE No. of Positions		
Executive Management	0.25	50,000	Assumes UPCHS pays .75 of budget for Superintendent
Instructional Management	0.50	67,500	Assumes UPCHS pays .25 of budget for Principal Dev.
Deans, Directors & Coordinators	-	-	
CFO / Director of Finance	-	-	
Operation / Business Manager	1.00	42,500	January 2019 onboarding of Operations Lead
Administrative Staff	1.00	55,000	Full-time administrative support for UPCMS
TOTAL ADMINISTRATIVE STAFF	2.75	215,000	

INSTRUCTIONAL PERSONNEL COSTS

Teachers - Regular	-	-	
Teachers - SPED	-	-	
Substitute Teachers	-	-	
Teaching Assistants	-	-	
Specialty Teachers	-	-	
Aides	-	-	
Therapists & Counselors	-	-	
Other	-	-	
TOTAL INSTRUCTIONAL	-	-	

NON-INSTRUCTIONAL PERSONNEL COSTS

Nurse	-	-	To be determined. A cost estimate is appreciated.
Librarian	-	-	
Custodian	-	-	Costs expected to be incurred in July 2019
Security	-	-	Costs expected to be incurred in July 2019
Other	-	-	
TOTAL NON-INSTRUCTIONAL	-	-	

SUBTOTAL PERSONNEL SERVICE COSTS

	2.75	215,000	
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PAYROLL TAXES AND BENEFITS

Payroll Taxes	-	16,448	
Fringe / Employee Benefits	-	40,850	
Retirement / Pension	-	32,250	
TOTAL PAYROLL TAXES AND BENEFITS	-	89,548	

TOTAL PERSONNEL SERVICE COSTS

	2.75	304,548	
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CONTRACTED SERVICES

			These line items may require modification.
Accounting / Audit	-	35,000	
Legal	-	15,000	
Management Company Fee	-	-	
Nurse Services	-	-	
Food Service / School Lunch	-	-	
Payroll Services	-	2,500	
Special Ed Services	-	-	
Titlement Services (i.e. Title I)	-	-	
Other Purchased / Professional / Consulting	-	25,000	
TOTAL CONTRACTED SERVICES	-	77,500	

UNIVERSITY PREP PUBLIC SCHOOLS, INC.
PROJECTED BUDGET / OPERATING PLAN FOR PRE-OPENING PERIOD
July 1, 2018 - June 30, 2019

**NOTE: Please enter financial data on either tab "5.) Pre-OP Cash Flow 6-Month" OR "6) Pre-OP Cash Flow 1-Year."
The pre-opening budget will be for either a 6-Month Period OR a 1-Year Period as selected on tab #1, School Information.*

		DESCRIPTION OF ASSUMPTIONS
Total Revenue	225,000	
Total Expenses	449,198	
Net Income	(224,198)	
		START-UP PERIOD
SCHOOL OPERATIONS		
Board Expenses	-	Summer board retreat (.5 of UPCHS event)
Classroom / Teaching Supplies & Materials	-	Pre-orders for grades 5 and 6
Special Ed Supplies & Materials	-	Pre-orders for grades 5 and 6
Textbooks / Workbooks	-	Pre-orders for grades 5 and 6
Supplies & Materials other	-	Pre-orders for grades 5 and 6
Equipment / Furniture	2,500	Administrative offices
Telephone	4,200	Basic operational phone service for 12 months
Technology	4,500	Computers, internet, wiring, software purchases
Student Testing & Assessment	-	Pre-orders for grades 5 and 6
Field Trips	-	
Transportation (student)	-	
Student Services - other	-	
Office Expense	5,000	Printing, bulk mailings, copying
Staff Development	5,000	Leadership team development Spring 2019
Staff Recruitment	20,000	
Student Recruitment / Marketing	22,000	
School Meals / Lunch	-	
Travel (Staff)	1,500	
Fundraising	-	
Other	-	
TOTAL SCHOOL OPERATIONS	64,700	
FACILITY OPERATION & MAINTENANCE		
Insurance	600	Monthly premiums for Education Corporation
Janitorial	-	
Building and Land Rent / Lease / Facility Finance Interest	-	
Repairs & Maintenance	-	
Equipment / Furniture	1,850	
Security	-	
Utilities	-	
TOTAL FACILITY OPERATION & MAINTENANCE	2,450	
DEPRECIATION & AMORTIZATION	-	
DISSOLUTION ESCROW & RESERVES / CONTIGENCY	-	
TOTAL EXPENSES	449,198	
NET INCOME	(224,198)	

PRE-OPENING CASH FLOW 1-YEAR		UNIVERSITY PREP PUBLIC SCHOOLS, INC.												
*NOTE: Please enter "Description of Assumptions" on tab "4) Pre-Opening Period Budget."		PROJECTED CASH FLOW FOR SCHOOLS PROPOSING TO OPEN IN THE SECOND YEAR FOLLOWING PROPOSAL SUBMISSION												
		July 1, 2018 - June 30, 2019												
		JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	TOTAL
Total Revenue	-	20,455	20,455	20,455	20,455	20,455	20,455	20,455	20,455	20,455	20,455	20,455	20,455	225,000
Total Expenses	38,087	30,837	30,837	35,837	30,837	30,837	30,837	43,371	45,871	40,871	43,121	38,121	38,121	446,748
Net Income	(38,087)	(10,383)	(10,383)	(15,383)	(10,383)	(10,383)	(10,383)	(22,916)	(25,416)	(20,416)	(22,666)	(17,666)	(17,666)	(221,748)
Cash Flow Adjustments	250,000	-	-	-	-	-	-	-	-	-	-	-	-	250,000
Beginning Cash Balance	-	211,913	201,530	191,148	175,765	165,382	155,000	132,083	106,667	86,251	63,585	45,919	45,919	-
Net Income	211,913	201,530	191,148	175,765	165,382	155,000	132,083	106,667	86,251	63,585	45,919	28,253	28,253	28,253
SCHOOL OPERATIONS														
Board Expenses	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Classroom / Teaching Supplies & Materials	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Special Ed Supplies & Materials	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Textbooks / Workbooks	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Supplies & Materials other	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Equipment / Furniture	-	-	-	-	-	-	2,500	-	-	-	-	-	-	2,500
Telephone	350	350	350	350	350	350	350	350	350	350	350	350	350	4,200
Technology	375	375	375	375	375	375	375	375	375	375	375	375	375	4,500
Student Testing & Assessment	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Field Trips	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Transportation (student)	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Student Services - other	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Office Expense	417	417	417	417	417	417	417	417	417	417	417	417	417	5,000
Staff Development	-	-	-	-	-	-	-	-	-	-	5,000	-	-	5,000
Staff Recruitment	10,000	-	-	5,000	-	-	-	5,000	-	-	-	-	-	20,000
Student Recruitment / Marketing	-	2,750	2,750	2,750	2,750	2,750	2,750	2,750	2,750	2,750	-	-	-	22,000
School Meals / Lunch	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Travel (Staff)	125	125	125	125	125	125	125	125	125	125	125	125	125	1,500
Fundraising	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL SCHOOL OPERATIONS	11,267	4,017	4,017	9,017	4,017	4,017	6,517	9,017	4,017	6,267	1,267	1,267	1,267	64,700
FACILITY OPERATION & MAINTENANCE														
Insurance	50	50	50	50	50	50	50	50	50	50	50	50	50	600
Janitorial	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Building and Land Rent / Lease / Facility Finance Interest	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Repairs & Maintenance	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Equipment / Furniture	500	-	-	1,000	-	-	-	350	-	-	-	-	-	1,850
Security	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Utilities	-	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL FACILITY OPERATION & MAINTENANCE														2,450
DEPRECIATION & AMORTIZATION														
DISSOLUTION ESCROW & RESERVES / CONTINGENCY														
TOTAL EXPENSES	38,087	30,837	30,837	35,837	30,837	30,837	43,371	45,871	40,871	43,121	38,121	38,121	38,121	446,748
NET INCOME	(38,087)	(10,383)	(10,383)	(15,383)	(10,383)	(10,383)	(22,916)	(25,416)	(20,416)	(22,666)	(17,666)	(17,666)	(17,666)	(221,748)

PRE-OPENING CASH FLOW 1-YEAR		UNIVERSITY PREP PUBLIC SCHOOLS, INC.												
*NOTE: <i>Please enter "Description of Assumptions" on tab "4) Pre-Opening Period Budget."</i>		PROJECTED CASH FLOW FOR SCHOOLS PROPOSING TO OPEN IN THE SECOND YEAR FOLLOWING PROPOSAL SUBMISSION												
		July 1, 2018 - June 30, 2019												
		JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	TOTAL
Total Revenue	-	20,455	20,455	20,455	20,455	20,455	20,455	20,455	20,455	20,455	20,455	20,455	20,455	225,000
Total Expenses	38,087	30,837	30,837	35,837	30,837	30,837	30,837	43,371	45,871	40,871	43,121	38,121	38,121	446,748
Net Income	(38,087)	(10,383)	(10,383)	(15,383)	(10,383)	(10,383)	(10,383)	(22,916)	(25,416)	(20,416)	(22,666)	(17,666)	(17,666)	(221,748)
Cash Flow Adjustments	250,000	-	-	-	-	-	-	-	-	-	-	-	-	250,000
Beginning Cash Balance	-	211,913	201,530	191,148	175,765	165,382	155,000	132,083	106,667	86,251	63,585	45,919	45,919	-
Net Income	211,913	201,530	191,148	175,765	165,382	155,000	132,083	106,667	86,251	63,585	45,919	28,253	28,253	28,253
		JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	TOTAL
CASH FLOW ADJUSTMENTS														
OPERATING ACTIVITIES														
Description (e.g. Add Back Depreciation)	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Operating Activities	-	-	-	-	-	-	-	-	-	-	-	-	-	-
INVESTMENT ACTIVITIES														
Description (e.g. Subtract Property and Equipment Expenditures)	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Investment Activities	-	-	-	-	-	-	-	-	-	-	-	-	-	-
FINANCING ACTIVITIES														
Description (e.g. Add Expected Proceeds from a Loan)	250,000	-	-	-	-	-	-	-	-	-	-	-	-	250,000
Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Financing Activities	250,000	-	-	-	-	-	-	-	-	-	-	-	-	250,000
Total Cash Flow Adjustments	250,000	-	-	-	-	-	-	-	-	-	-	-	-	250,000
NET INCOME	211,913	(10,383)	(10,383)	(15,383)	(10,383)	(10,383)	(10,383)	(22,916)	(25,416)	(20,416)	(22,666)	(17,666)	(17,666)	28,253
Beginning Cash Balance	-	211,913	201,530	191,148	175,765	165,382	155,000	132,083	106,667	86,251	63,585	45,919	45,919	-
ENDING CASH BALANCE	211,913	201,530	191,148	175,765	165,382	155,000	132,083	106,667	86,251	63,585	45,919	28,253	28,253	28,253

YEAR 1 BUDGET AND ASSUMPTION	UNIVERSITY PREP PUBLIC SCHOOLS, INC.						DESCRIPTION OF ASSUMPTIONS
	PROJECTED BUDGET / OPERATING PLAN FOR YEAR ONE						
	JULY 1, 2019 - JUNE 30, 2020						
Total Revenue	10,411,404	1,144,965	-	-	289,000	11,845,369	*NOTE: State assumptions that are being made for the 1-Year Budget in the section provided below.
Total Expenses	7,022,730	2,227,128	-	75,291	2,345,290	11,670,440	
Net Income	3,388,674	(1,082,163)	-	(75,291)	(2,056,290)	174,930	
Budgeted Student Enrollment	614	-	-	-	-	614	Approximate enrollment allowing for 30-31 students per class.
		PROGRAM SERVICES			SUPPORT SERVICES		
		REGULAR EDUCATION	SPECIAL EDUCATION	OTHER	FUNDRAISING	MANAGEMENT & GENERAL	TOTAL
REVENUE							
REVENUES FROM STATE SOURCES							
Per Pupil Revenue	Basic Tuition (2019-20)						
PRIMARY School District: NYC CHANCELLOR'S OFFICE	15,827	9,717,778				9,717,778	Year 1 per pupil allocation of \$15,527. Figure based on Guidance from NYC Charter Center Field Memo.
Other District 1:	-	-				-	
Other District 2:	-	-				-	
Other District 3:	-	-				-	
Other District 4:	-	-				-	
Other District 5:	-	-				-	
Other District 6:	-	-				-	
Other District 7:	-	-				-	
Other District 8:	-	-				-	
Other District 9:	-	-				-	
Other District 10:	-	-				-	
Other District 11:	-	-				-	
Other District 12:	-	-				-	
Other District 13:	-	-				-	
Other District 14:	-	-				-	
Other School Districts' Revenue: (Weighted Avg.)	-	-				-	
TOTAL Per Pupil Revenue (Weighted Avg.)	15,527	9,717,778				9,717,778	
Special Education Revenue			915,001			915,001	Assumes a split of 15% (20-60 percent); 35% (60 percent or higher). Assumes UPCMS enrolls 26% SWD; HS: 685K (FTE 20 20-60%; FTE 25 60%+)
Grants							
Stimulus							
DYCD (Department of Youth and Community Development)		100,000	75,000			175,000	Reimbursable grant
State Other- Supplemental							
Other							
TOTAL REVENUE FROM STATE SOURCES		9,817,778	990,001			10,807,779	
REVENUE FROM FEDERAL FUNDING							
IDEA Special Needs			79,964			79,964	Assumes total allocation of \$1,000 per student receiving services over 60% of the time (2.6% of the total student population); HS: 64K
Title I		374,126				374,126	Assumes an allocation of \$500 per student, with no increases over the charter term.
Title Funding - Other		69,500				69,500	Title II projections
School Food Service (Free Lunch)							
Grants							
Charter School Program (CSP) Planning & Implementation		150,000	75,000			225,000	CSP Funding for Year 1 of \$225,000
Other							
Other							
TOTAL REVENUE FROM FEDERAL SOURCES		593,626	154,964			748,590	
LOCAL and OTHER REVENUE							
Contributions and Donations							
Fundraising							
Erate Reimbursement					30,000	30,000	50-60% of Internet service
Earnings on Investments							

YEAR 1 BUDGET AND ASSUMPTION	UNIVERSITY PREP PUBLIC SCHOOLS, INC.						DESCRIPTION OF ASSUMPTIONS
	PROJECTED BUDGET / OPERATING PLAN FOR YEAR ONE						*NOTE: State assumptions that are being made for the 1-Year Budget in the section provided below.
	JULY 1, 2019 - JUNE 30, 2020						
Total Revenue	10,411,404	1,144,965	-	-	289,000	11,845,369	
Total Expenses	7,022,730	2,227,128	-	75,291	2,345,290	11,670,440	
Net Income	3,388,674	(1,082,163)	-	(75,291)	(2,056,290)	174,930	
Budgeted Student Enrollment	614	-				614	Approximate enrollment allowing for 30-31 students per class.
	PROGRAM SERVICES			SUPPORT SERVICES			
	REGULAR EDUCATION	SPECIAL EDUCATION	OTHER	FUNDRAISING	MANAGEMENT & GENERAL	TOTAL	
Interest Income	-	-	-	-	9,000	9,000	
Food Service (Income from meals)	-	-	-	-	-	-	
Text Book	-	-	-	-	-	-	
OTHER	-	-	-	-	250,000	250,000	Facility Assistance. Based on rent assumption (30% of PPA times Projected Year 1 Enrollment).
TOTAL REVENUE FROM LOCAL and OTHER SOURCES	-	-	-	-	289,000	289,000	
TOTAL REVENUE	10,411,404	1,144,965	-	-	289,000	11,845,369	

YEAR 1 BUDGET AND ASSUMPTION	UNIVERSITY PREP PUBLIC SCHOOLS, INC.						DESCRIPTION OF ASSUMPTIONS
	PROJECTED BUDGET / OPERATING PLAN FOR YEAR ONE						*NOTE: State assumptions that are being made for the 1-Year Budget in the section provided below.
	JULY 1, 2019 - JUNE 30, 2020						
Total Revenue	10,411,404	1,144,965	-	-	289,000	11,845,369	
Total Expenses	7,022,730	2,227,128	-	75,291	2,345,290	11,670,440	
Net Income	3,388,674	(1,082,163)	-	(75,291)	(2,056,290)	174,930	
Budgeted Student Enrollment	614	-				614	Approximate enrollment allowing for 30-31 students per class.
	PROGRAM SERVICES			SUPPORT SERVICES			
	REGULAR EDUCATION	SPECIAL EDUCATION	OTHER	FUNDRAISING	MANAGEMENT & GENERAL	TOTAL	
Titlement Services (i.e. Title I)	-	-	-	-	-	-	
Other Purchased / Professional / Consulting	-	-	-	-	425,000	425,000	Estimated external support fees
TOTAL CONTRACTED SERVICES	-	2,000	-	-	526,924	528,924	

YEAR 1 BUDGET AND ASSUMPTION	UNIVERSITY PREP PUBLIC SCHOOLS, INC.						DESCRIPTION OF ASSUMPTIONS
	PROJECTED BUDGET / OPERATING PLAN FOR YEAR ONE						*NOTE: State assumptions that are being made for the 1-Year Budget in the section provided below.
	JULY 1, 2019 - JUNE 30, 2020						
Total Revenue	10,411,404	1,144,965	-	-	289,000	11,845,369	
Total Expenses	7,022,730	2,227,128	-	75,291	2,345,290	11,670,440	
Net Income	3,388,674	(1,082,163)	-	(75,291)	(2,056,290)	174,930	
Budgeted Student Enrollment	614	-	-	-	-	614	Approximate enrollment allowing for 30-31 students per class.
	PROGRAM SERVICES			SUPPORT SERVICES			
	REGULAR EDUCATION	SPECIAL EDUCATION	OTHER	FUNDRAISING	MANAGEMENT & GENERAL	TOTAL	
SCHOOL OPERATIONS							
Board Expenses	-	-	-	-	5,000	5,000	Support for ongoing board development
Classroom / Teaching Supplies & Materials	82,798	12,372	-	-	-	95,170	Estimate spending \$175 per student
Special Ed Supplies & Materials	-	7,500	-	-	-	7,500	
Textbooks / Workbooks	27,840	4,160	-	-	-	32,000	
Supplies & Materials other	13,050	1,950	-	-	-	15,000	
Equipment / Furniture	73,950	11,050	-	-	-	85,000	
Telephone	15,660	2,340	-	-	20,000	38,000	
Technology	38,280	5,720	-	-	50,000	94,000	
Student Testing & Assessment	20,010	2,990	-	-	-	23,000	
Field Trips	69,600	10,400	-	-	-	80,000	
Transportation (student)	27,840	4,160	-	-	-	32,000	
Student Services - other	104,400	15,600	-	-	-	120,000	
Office Expense	-	-	-	-	99,000	99,000	
Staff Development	42,630	6,370	-	-	-	49,000	
Staff Recruitment	13,050	1,950	-	-	-	15,000	
Student Recruitment / Marketing	16,530	2,470	-	-	-	19,000	
School Meals / Lunch	2,175	325	-	-	-	2,500	
Travel (Staff)	3,045	455	-	-	-	3,500	
Fundraising	-	-	-	2,500	-	2,500	
Other	-	-	-	-	-	-	
TOTAL SCHOOL OPERATIONS	550,858	89,812	-	2,500	174,000	817,170	
FACILITY OPERATION & MAINTENANCE							
Insurance	-	-	-	-	80,000	80,000	
Janitorial	-	-	-	-	25,000	25,000	
Building and Land Rent / Lease / Facility Finance Interest	-	-	-	-	250,000	250,000	Assumes \$25/psf for a 20,000 ft. facility by Year 3. Initial facility will be sufficient to accommodate growth plan for Years 1 and 2. Year 1 - 10000 SF.
Repairs & Maintenance	-	-	-	-	11,000	11,000	Baseline repair and maintenance estimate
Equipment / Furniture	-	-	-	-	35,000	35,000	Please Amend as Needed
Security	-	-	-	-	10,000	10,000	Support systems for facility security
Utilities	-	-	-	-	25,000	25,000	Baseline utility projection for 20000 sq. ft. facility
TOTAL FACILITY OPERATION & MAINTENANCE	-	-	-	-	436,000	436,000	
DEPRECIATION & AMORTIZATION	-	-	-	-	185,000	185,000	
DISSOLUTION ESCROW & RESERVES / CONTINGENCY	-	-	-	-	75,000	75,000	
TOTAL EXPENSES	7,022,730	2,227,128	-	75,291	2,345,290	11,670,440	
NET INCOME	3,388,674	(1,082,163)	-	(75,291)	(2,056,290)	174,930	

YEAR 1 BUDGET AND ASSUMPTION	UNIVERSITY PREP PUBLIC SCHOOLS, INC.						DESCRIPTION OF ASSUMPTIONS	
	PROJECTED BUDGET / OPERATING PLAN FOR YEAR ONE						*NOTE: State assumptions that are being made for the 1-Year Budget in the section provided below.	
	JULY 1, 2019 - JUNE 30, 2020							
Total Revenue	10,411,404	1,144,965	-	-	289,000	11,845,369		
Total Expenses	7,022,730	2,227,128	-	75,291	2,345,290	11,670,440		
Net Income	3,388,674	(1,082,163)	-	(75,291)	(2,056,290)	174,930		
Budgeted Student Enrollment	614	-				614	Approximate enrollment allowing for 30-31 students per class.	
		PROGRAM SERVICES			SUPPORT SERVICES			
		REGULAR EDUCATION	SPECIAL EDUCATION	OTHER	FUNDRAISING	MANAGEMENT & GENERAL	TOTAL	
ENROLLMENT - *School Districts Are Linked To Above Entries* NYC CHANCELLOR'S OFFICE								
PRIMARY School District:		614					614	Assumes 60 students in grade 5; 124 students in grade 6; 430 in grades 9-12
Other District 1:		-					-	
Other District 2:		-					-	
Other District 3:		-					-	
Other District 4:		-					-	
Other District 5:		-					-	
Other District 6:		-					-	
Other District 7:		-					-	
Other District 8:		-					-	
Other District 9:		-					-	
Other District 10:		-					-	
Other District 11:		-					-	
Other District 12:		-					-	
Other District 13:		-					-	
Other District 14:		-					-	
All Other School Districts		-					-	
TOTAL ENROLLMENT		614					614	
REVENUE PER PUPIL		16,957					19,292	
EXPENSES PER PUPIL		11,438					19,007	

YEAR 1 CASH FLOW (FIRST YEAR OF CHARTER)	UNIVERSITY PREP PUBLIC SCHOOLS, INC. PROJECTED CASH FLOW FOR YEAR ONE OF OPERATIONS JULY 1, 2019 - JUNE 30, 2020																			
	TOTAL REVENUE	TOTAL EXPENSES	NET INCOME	CASH FLOW ADJUSTMENTS	BEGINNING CASH BALANCE	ENDING CASH BALANCE	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	TOTAL	
	1,794,130	22,000	1,794,130	71,292	1,905,922	151,256	1,905,922	71,292	1,905,922	71,292	1,905,922	71,292	1,905,922	71,292	1,905,922	71,292	1,905,922	246,292	11,845,369	
	1,051,467	921,543	935,043	935,043	935,043	947,543	935,043	935,043	935,043	940,043	935,043	935,043	935,043	935,043	935,043	935,043	935,043	1,254,543	11,670,440	
	742,663	(899,543)	859,087	(863,751)	970,879	(796,287)	960,879	(863,751)	970,879	(868,751)	970,879	(863,751)	970,879	(863,751)	970,879	(863,751)	970,879	(1,008,251)	174,930	
	(255,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	179,583	(130,000)	
	2,000,000	2,487,246	1,582,287	2,435,957	1,566,789	2,532,251	1,730,547	2,686,009	1,816,841	2,782,303	1,908,135	2,873,598	2,000,000					2,044,930	2,044,930	
	2,487,246	1,582,287	2,435,957	1,566,789	2,532,251	1,730,547	2,686,009	1,816,841	2,782,303	1,908,135	2,873,598	2,044,930	2,044,930					2,044,930	2,044,930	
							JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	TOTAL	
REVENUE	* Totals (Column U) for all lines above Cash Flow Adjustments should equal the Totals (Column N) on tab "7) Year 1 Budget & Assumptions."																			
REVENUES FROM STATE SOURCES																				
Per Pupil Revenue	Basic Tuition (2019-20)																			
PRIMARY School District: NYC CHANCELLOR'S OFFICE	15,827	1,619,630	-	1,619,630	-	1,619,630	-	1,619,630	-	1,619,630	-	1,619,630	-	1,619,630	-	1,619,630	-	1,619,630	-	9,717,778
Other District 1:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other District 2:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other District 3:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other District 4:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other District 5:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other District 6:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other District 7:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other District 8:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other District 9:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other District 10:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other District 11:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other District 12:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other District 13:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other District 14:	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other School Districts' Revenue: (Weighted Avg.)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL Per Pupil Revenue (Weighted Avg.):	15,827	1,619,630	-	1,619,630	-	1,619,630	-	1,619,630	-	1,619,630	-	1,619,630	-	1,619,630	-	1,619,630	-	1,619,630	-	9,717,778
Special Education Revenue		152,500	-	152,500	-	152,500	-	152,500	-	152,500	-	152,500	-	152,500	-	152,500	-	152,500	-	915,001
Grants																				
Stimulus	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
DYCD (Department of Youth and Community Developmt.)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	175,000	-	175,000
Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL REVENUE FROM STATE SOURCES		1,772,130	-	1,772,130	-	1,772,130	-	1,772,130	-	1,772,130	-	1,772,130	-	1,772,130	-	1,772,130	-	1,772,130	175,000	10,807,779
REVENUE FROM FEDERAL FUNDING																				
IDEA Special Needs	-	-	-	-	-	79,964	-	-	-	-	-	-	-	-	-	-	-	-	-	79,964
Title I	-	-	-	41,570	41,570	41,570	41,570	41,570	41,570	41,570	41,570	41,570	41,570	41,570	41,570	41,570	41,570	41,570	41,570	374,126
Title Funding - Other	-	-	-	7,722	7,722	7,722	7,722	7,722	7,722	7,722	7,722	7,722	7,722	7,722	7,722	7,722	7,722	7,722	7,722	69,500
School Food Service (Free Lunch)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Grants																				
Charter School Program (CSP) Planning & Implementation	18,750	18,750	18,750	18,750	18,750	18,750	18,750	18,750	18,750	18,750	18,750	18,750	18,750	18,750	18,750	18,750	18,750	18,750	18,750	225,000
Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL REVENUE FROM FEDERAL SOURCES		18,750	18,750	18,750	68,042	68,042	148,006	68,042	68,042	68,042	68,042	68,042	68,042	68,042	68,042	68,042	68,042	68,042	68,042	748,590
LOCAL and OTHER REVENUE																				
Contributions and Donations	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Fundraising	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Erate Reimbursement	2,500	2,500	2,500	2,500	2,500	2,500	2,500	2,500	2,500	2,500	2,500	2,500	2,500	2,500	2,500	2,500	2,500	2,500	2,500	30,000
Earnings on Investments	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Interest Income	750	750	750	750	750	750	750	750	750	750	750	750	750	750	750	750	750	750	750	9,000
Food Service (Income from meals)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Text Book	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
OTHER	-	-	-	-	62,500	-	62,500	-	62,500	-	62,500	-	62,500	-	62,500	-	62,500	-	62,500	250,000
TOTAL REVENUE FROM LOCAL and OTHER SOURCES		3,250	3,250	3,250	3,250	65,750	3,250	65,750	3,250	65,750	3,250	65,750	3,250	65,750	3,250	65,750	3,250	65,750	3,250	289,000
TOTAL REVENUE		1,794,130	22,000	1,794,130	71,292	1,905,922	151,256	1,905,922	71,292	1,905,922	71,292	1,905,922	71,292	1,905,922	71,292	1,905,922	246,292	11,845,369		

YEAR 1 CASH FLOW (FIRST YEAR OF CHARTER)	UNIVERSITY PREP PUBLIC SCHOOLS, INC. PROJECTED CASH FLOW FOR YEAR ONE OF OPERATIONS JULY 1, 2019 - JUNE 30, 2020												
	1,794,130	22,000	1,794,130	71,292	1,905,922	151,256	1,905,922	71,292	1,905,922	71,292	1,905,922	246,292	11,845,369
	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	TOTAL
Total Revenue	1,794,130	22,000	1,794,130	71,292	1,905,922	151,256	1,905,922	71,292	1,905,922	71,292	1,905,922	246,292	11,845,369
Total Expenses	1,051,467	921,543	935,043	935,043	935,043	947,543	945,043	935,043	935,043	940,043	935,043	1,254,543	11,670,440
Net Income	742,663	(899,543)	859,087	(863,751)	970,879	(796,287)	960,879	(863,751)	970,879	(868,751)	970,879	(1,008,251)	174,930
Cash Flow Adjustments	(255,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	179,583	(130,000)
Beginning Cash Balance	2,000,000	2,487,246	1,582,287	2,435,957	1,566,789	2,532,251	1,730,547	2,686,009	1,816,841	2,782,303	1,908,135	2,873,598	2,000,000
Ending Cash Balance	2,487,246	1,582,287	2,435,957	1,566,789	2,532,251	1,730,547	2,686,009	1,816,841	2,782,303	1,908,135	2,873,598	2,044,930	2,044,930
SCHOOL OPERATIONS	417	417	417	417	417	417	417	417	417	417	417	417	5,000
Board Expenses	7,931	7,931	7,931	7,931	7,931	7,931	7,931	7,931	7,931	7,931	7,931	7,931	95,170
Classroom / Teaching Supplies & Materials	625	625	625	625	625	625	625	625	625	625	625	625	7,500
Special Ed Supplies & Materials	2,667	2,667	2,667	2,667	2,667	2,667	2,667	2,667	2,667	2,667	2,667	2,667	32,000
Textbooks / Workbooks	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	15,000
Supplies & Materials other	7,083	7,083	7,083	7,083	7,083	7,083	7,083	7,083	7,083	7,083	7,083	7,083	85,000
Equipment / Furniture	3,167	3,167	3,167	3,167	3,167	3,167	3,167	3,167	3,167	3,167	3,167	3,167	38,000
Telephone	7,833	7,833	7,833	7,833	7,833	7,833	7,833	7,833	7,833	7,833	7,833	7,833	94,000
Technology	-	-	2,300	2,300	2,300	2,300	2,300	2,300	2,300	2,300	2,300	2,300	23,000
Student Testing & Assessment	-	-	8,000	8,000	8,000	8,000	8,000	8,000	8,000	8,000	8,000	8,000	80,000
Field Trips	-	-	3,200	3,200	3,200	3,200	3,200	3,200	3,200	3,200	3,200	3,200	32,000
Transportation (student)	10,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000	120,000
Student Services - other	8,250	8,250	8,250	8,250	8,250	8,250	8,250	8,250	8,250	8,250	8,250	8,250	99,000
Office Expense	4,083	4,083	4,083	4,083	4,083	4,083	4,083	4,083	4,083	4,083	4,083	4,083	49,000
Staff Development	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	15,000
Staff Recruitment	1,583	1,583	1,583	1,583	1,583	1,583	1,583	1,583	1,583	1,583	1,583	1,583	19,000
Student Recruitment / Marketing	208.33	208.33	208.33	208.33	208.33	208.33	208.33	208.33	208.33	208.33	208.33	208.33	2,500
School Meals / Lunch	291.67	291.67	291.67	291.67	291.67	291.67	291.67	291.67	291.67	291.67	291.67	291.67	3,500
Travel (Staff)	208.33	208.33	208.33	208.33	208.33	208.33	208.33	208.33	208.33	208.33	208.33	208.33	2,500
Fundraising	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL SCHOOL OPERATIONS	56,848	56,848	70,348	70,348	70,348	70,348	70,348	70,348	70,348	70,348	70,348	70,348	817,170
FACILITY OPERATION & MAINTENANCE	80,000	-	-	-	-	12,500	-	-	-	-	-	-	80,000
Insurance	12,500	-	-	-	-	12,500	-	-	-	-	-	-	25,000
Janitorial	20,833	20,833	20,833	20,833	20,833	20,833	20,833	20,833	20,833	20,833	20,833	20,833	250,000
Building and Land Rent / Lease / Facility Finance Interest	917	917	917	917	917	917	917	917	917	917	917	917	11,000
Repairs & Maintenance	20,000	-	-	-	-	-	10,000	-	-	5,000	-	-	35,000
Equipment / Furniture	10,000	-	-	-	-	-	-	-	-	-	-	-	10,000
Security	2,083	2,083	2,083	2,083	2,083	2,083	2,083	2,083	2,083	2,083	2,083	2,083	25,000
Utilities	146,333	23,833	23,833	23,833	23,833	36,333	33,833	23,833	23,833	28,833	23,833	23,833	436,000
TOTAL FACILITY OPERATION & MAINTENANCE	-	-	-	-	-	-	-	-	-	-	-	-	185,000
DEPRECIATION & AMORTIZATION	-	-	-	-	-	-	-	-	-	-	-	-	185,000
DISSOLUTION ESCROW & RESERVES / CONTINGENCY	-	-	-	-	-	-	-	-	-	-	-	-	75,000
TOTAL EXPENSES	1,051,467	921,543	935,043	935,043	935,043	947,543	945,043	935,043	935,043	940,043	935,043	1,254,543	11,670,440
NET INCOME	742,663	(899,543)	859,087	(863,751)	970,879	(796,287)	960,879	(863,751)	970,879	(868,751)	970,879	(1,008,251)	174,930
CASH FLOW ADJUSTMENTS	-	-	-	-	-	-	-	-	-	-	-	-	-
OPERATING ACTIVITIES	-	-	-	-	-	-	-	-	-	-	-	-	185,000
Example - Add Back Depreciation	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Operating Activities	-	-	-	-	-	-	-	-	-	-	-	-	185,000
INVESTMENT ACTIVITIES	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(65,000)
Example - Subtract Property and Equipment Expenditures	-	-	-	-	-	-	-	-	-	-	-	-	-
Other	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(65,000)
Total Investment Activities	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(65,000)
FINANCING ACTIVITIES	-	-	-	-	-	-	-	-	-	-	-	-	-
Example - Add Expected Proceeds from a Loan or Line of Credit	(250,000)	-	-	-	-	-	-	-	-	-	-	-	0
Other	(250,000)	-	-	-	-	-	-	-	-	-	-	-	(250,000)
Total Financing Activities	(250,000)	-	-	-	-	-	-	-	-	-	-	-	(250,000)
Total Cash Flow Adjustments	(255,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	(5,417)	179,583	(130,000)
NET INCOME	487,246	(904,960)	853,670	(869,168)	965,462	(801,704)	955,462	(869,168)	965,462	(874,168)	965,462	(828,668)	44,930
Beginning Cash Balance	2,000,000	2,487,246	1,582,287	2,435,957	1,566,789	2,532,251	1,730,547	2,686,009	1,816,841	2,782,303	1,908,135	2,873,598	2,000,000
ENDING CASH BALANCE	2,487,246	1,582,287	2,435,957	1,566,789	2,532,251	1,730,547	2,686,009	1,816,841	2,782,303	1,908,135	2,873,598	2,044,930	2,044,930

5 YEAR BUDGET AND CASH FLOW ADJUSTMENTS		UNIVERSITY PREP PUBLIC SCHOOLS, INC.					DESCRIPTION OF ASSUMPTIONS
*NOTE: Projected Five Year Budget on this tab should be for the first five years of actual operations.		PROJECTED BUDGET / OPERATING PLAN FOR INITIAL CHARTER PERIOD 2019-20 THROUGH 2023-24					*NOTE: State assumptions that are being made in the section provided below.
Total Revenue		11,845,369	13,800,656	16,602,020	16,461,433	16,909,097	
Total Expenses		11,670,440	13,672,529	15,719,842	16,957,357	18,315,689	
Net Income (Before Cash Flow Adjustments)		174,930	128,128	882,178	(495,924)	(1,406,592)	
Budgeted Student Enrollment		614	738	892	892	926	
		Year 1 2019-20	Year 2 2020-21	Year 3 2021-22	Year 4 2022-23	Year 5 2023-24	
		Per Pupil Revenue Percentage Increase					
		0.0%	2.0%	2.0%	1.0%	0.0%	
REVENUE							
REVENUES FROM STATE SOURCES							
Per Pupil Revenue	Basic Tuition (2019-20)						
	NYC CHANCELLOR'S OFFICE	9,717,778	11,913,933	14,400,038	14,258,861	14,655,802	Assumes projected base tuition rate of \$15,527. NYC Charter Center advises the per pupil allocation will increase to \$15,827 in FY19-20.
PRIMARY School District:							
Other District 1:		-	-	-	-	-	
Other District 2:		-	-	-	-	-	
Other District 3:		-	-	-	-	-	
Other District 4:		-	-	-	-	-	
Other District 5:		-	-	-	-	-	
Other District 6:		-	-	-	-	-	
Other District 7:		-	-	-	-	-	
Other District 8:		-	-	-	-	-	
Other District 9:		-	-	-	-	-	
Other District 10:		-	-	-	-	-	
Other District 11:		-	-	-	-	-	
Other District 12:		-	-	-	-	-	
Other District 13:		-	-	-	-	-	
Other District 14:		-	-	-	-	-	
Other School Districts' Revenue:	(Weighted Avg.)	-	-	-	-	-	
TOTAL Per Pupil Revenue	(Weighted Avg.)	9,717,778	11,913,933	14,400,038	14,258,861	14,655,802	
Special Education Revenue		915,001	647,950	783,159	783,159	813,010	Assumes a split of 5% (20-60 percent); 15% (60 percent or higher). Assumes UPCMS enrolls 26% SWD
Grants							
Stimulus		-	-	-	-	-	
DYCD (Department of Youth and Community Developmt.)		175,000	-	-	-	-	
Other		-	45,461	54,947	54,947	57,042	NYSTL
Other		-	16,531	19,981	19,981	20,742	NYSSL, NYSLIBL
TOTAL REVENUE FROM STATE SOURCES		10,807,779	12,623,874	15,258,125	15,116,948	15,546,596	
REVENUE FROM FEDERAL FUNDING							
IDEA Special Needs		79,964	28,782	29,645	30,535	31,451	Assumes \$1000 per student above 60% service line (85% of students with an enrollment of 26% SWD to match CSD 7). Three percent annual increase in funding.
Title I		374,126	369,000	446,000	446,000	463,000	Assumes an allocation of \$500 per student, with no increases over the charter term.
Title Funding - Other		69,500	9,500	9,250	8,950	9,050	Assumptions for Title IIA funding
School Food Service (Free Lunch)		-	-	-	-	-	
Grants							
Charter School Program (CSP) Planning & Implementation		225,000	100,000	-	-	-	Budget omits consideration of Supplemental Funding up to \$275,000 for meeting program priorities.
Other		-	-	-	-	-	
Other		-	-	-	-	-	
TOTAL REVENUE FROM FEDERAL SOURCES		748,590	507,282	484,895	485,485	503,501	
LOCAL and OTHER REVENUE							
Contributions and Donations		-	-	-	-	-	
Fundraising		-	-	-	-	-	
Erate Reimbursement		30,000	10,500	-	-	-	Assumes a rate equivalent to 70% of technology spending
Earnings on Investments		-	-	-	-	-	
Interest Income		9,000	9,000	9,000	9,000	9,000	
Food Service (Income from meals)		-	-	-	-	-	
Text Book		-	-	-	-	-	
OTHER		250,000	650,000	850,000	850,000	850,000	Facility Rental Assistance from NYCDOE. 30% Allocation

5 YEAR BUDGET AND CASH FLOW ADJUSTMENTS	UNIVERSITY PREP PUBLIC SCHOOLS, INC. PROJECTED BUDGET / OPERATING PLAN FOR INITIAL CHARTER PERIOD 2019-20 THROUGH 2023-24					DESCRIPTION OF ASSUMPTIONS
<i>*NOTE: Projected Five Year Budget on this tab should be for the first five years of actual operations.</i>						<i>*NOTE: State assumptions that are being made in the section provided below.</i>
Total Revenue	11,845,369	13,800,656	16,602,020	16,461,433	16,909,097	
Total Expenses	11,670,440	13,672,529	15,719,842	16,957,357	18,315,689	
Net Income (Before Cash Flow Adjustments)	174,930	128,128	882,178	(495,924)	(1,406,592)	
Budgeted Student Enrollment	614	738	892	892	926	
TOTAL REVENUE FROM LOCAL and OTHER SOURCES	Year 1 2019-20	Year 2 2020-21	Year 3 2021-22	Year 4 2022-23	Year 5 2023-24	
	289,000	669,500	859,000	859,000	859,000	
TOTAL REVENUE	11,845,369	13,800,656	16,602,020	16,461,433	16,909,097	

5 YEAR BUDGET AND CASH FLOW ADJUSTMENTS		UNIVERSITY PREP PUBLIC SCHOOLS, INC.					DESCRIPTION OF ASSUMPTIONS	
<i>*NOTE: Projected Five Year Budget on this tab should be for the first five years of actual operations.</i>		PROJECTED BUDGET / OPERATING PLAN FOR INITIAL CHARTER PERIOD 2019-20 THROUGH 2023-24					<i>*NOTE: State assumptions that are being made in the section provided below.</i>	
		Year 1 2019-20	Year 2 2020-21	Year 3 2021-22	Year 4 2022-23	Year 5 2023-24		
Total Revenue		11,845,369	13,800,656	16,602,020	16,461,433	16,909,097		
Total Expenses		11,670,440	13,672,529	15,719,842	16,957,357	18,315,689		
Net Income (Before Cash Flow Adjustments)		174,930	128,128	882,178	(495,924)	(1,406,592)		
Budgeted Student Enrollment		614	738	892	892	926		
EXPENSES								
ADMINISTRATIVE STAFF PERSONNEL COSTS		Year 1 No. of Positions					<i>NOTE: For all 5-Years of FTE/Staffing detail please see the 'Staffing' tab of this file.</i>	
Executive Management		1.00	200,000	204,000	208,080	212,242	216,486	Assumes .25 for Superintendent in Year 1; .50 thereafter.
Instructional Management		3.00	405,000	413,100	421,362	429,789	438,385	Principal Salary at \$135,000
Deans, Directors & Coordinators		1.00	130,000	132,600	135,252	137,957	140,716	Dean of School Culture Salary at \$130,000
CFO / Director of Finance		-	-	-	-	-	-	
Operation / Business Manager		3.00	315,000	321,300	327,726	334,281	340,966	Director of Operations Salary at \$130,000
Administrative Staff		6.00	330,000	336,600	343,332	405,199	413,303	Administrative Assistants at \$55,000
TOTAL ADMINISTRATIVE STAFF		14.00	1,380,000	1,407,600	1,435,752	1,519,467	1,549,856	
INSTRUCTIONAL PERSONNEL COSTS								
Teachers - Regular		28.00	2,856,000	3,627,120	4,209,662	5,007,856	5,618,013	Average annual salary of \$75K
Teachers - SPED		7.00	754,782	877,704	1,003,084	1,023,145	1,151,434	
Substitute Teachers		-	-	-	-	-	-	
Teaching Assistants		-	-	-	-	-	-	
Specialty Teachers		11.00	1,215,071	1,239,372	1,374,621	1,402,113	1,540,617	
Aides		-	-	-	-	-	-	
Therapists & Counselors		7.00	738,500	753,270	979,335	998,922	1,018,901	
Other		-	-	-	-	-	-	
TOTAL INSTRUCTIONAL		53.00	5,564,353	6,497,466	7,566,702	8,432,036	9,328,964	
NON-INSTRUCTIONAL PERSONNEL COSTS								
Nurse		-	-	-	-	-	-	
Librarian		-	-	-	-	-	-	
Custodian		-	-	-	-	-	-	
Security		-	-	-	-	-	-	
Other		-	-	-	-	-	-	Line reserved for Cafeteria Staff - Status TBD
TOTAL NON-INSTRUCTIONAL		-	-	-	-	-	-	
SUBTOTAL PERSONNEL SERVICE COSTS		67.00	6,944,353	7,905,066	9,002,454	9,951,503	10,878,821	
PAYROLL TAXES AND BENEFITS								
Payroll Taxes			531,243	604,738	688,688	761,290	832,230	Assumes 5% increases in Years 1-4, then 3% in Year 5
Fringe / Employee Benefits			1,111,096	1,501,963	1,710,466	1,890,786	2,066,976	Assumes 5% increases in Years 1-4, then 3% in Year 5
Retirement / Pension			1,041,653	1,422,912	1,620,442	1,791,271	1,958,188	Assumes 5% increases in Years 1-4, then 3% in Year 5
TOTAL PAYROLL TAXES AND BENEFITS			2,683,992	3,529,612	4,019,596	4,443,346	4,857,393	
TOTAL PERSONNEL SERVICE COSTS		67.00	9,628,345	11,434,678	13,022,050	14,394,850	15,736,214	
CONTRACTED SERVICES								
Accounting / Audit			59,500	30,000	30,900	31,827	32,782	Baseline assumption of \$30K with a 3% annual increase
Legal			35,000	30,000	30,900	31,827	32,782	Baseline assumption of \$30K with a 3% annual increase
Management Company Fee			-	-	-	-	-	
Nurse Services			-	-	-	-	-	
Food Service / School Lunch			-	-	-	-	-	UPCMS will explore food service options
Payroll Services			7,424	7,500	7,725	7,957	8,195	Assumes a 3% annual increase
Special Ed Services			2,000	2,000	2,060	2,122	2,185	Assumes a 3% annual increase
Titlement Services (i.e. Title I)			-	-	-	-	-	
Other Purchased / Professional / Consulting			425,000	425,000	437,750	450,883	464,409	Assumes a 3% annual increase
TOTAL CONTRACTED SERVICES			528,924	494,500	509,335	524,615	540,354	All projections under this sub-heading align with base projections included for 2019-2020 in the UPCHS Renewal Application. Rates of increase are 3%.

5 YEAR BUDGET AND CASH FLOW ADJUSTMENTS	UNIVERSITY PREP PUBLIC SCHOOLS, INC.					DESCRIPTION OF ASSUMPTIONS
	PROJECTED BUDGET / OPERATING PLAN FOR INITIAL CHARTER PERIOD 2019-20 THROUGH 2023-24					
<i>*NOTE: Projected Five Year Budget on this tab should be for the first five years of actual operations.</i>						<i>*NOTE: State assumptions that are being made in the section provided below.</i>
Total Revenue	11,845,369	13,800,656	16,602,020	16,461,433	16,909,097	
Total Expenses	11,670,440	13,672,529	15,719,842	16,957,357	18,315,689	
Net Income (Before Cash Flow Adjustments)	174,930	128,128	882,178	(495,924)	(1,406,592)	
Budgeted Student Enrollment	614	738	892	892	926	
	Year 1 2019-20	Year 2 2020-21	Year 3 2021-22	Year 4 2022-23	Year 5 2023-24	
SCHOOL OPERATIONS						
Board Expenses	5,000	5,500	10,000	10,000	10,000	Board development expenses to support high-quality school oversight and governance
Classroom / Teaching Supplies & Materials	95,170	114,390	138,260	138,260	143,530	
Special Ed Supplies & Materials	7,500	7,500	7,500	7,500	7,500	
Textbooks / Workbooks	32,000	45,461	54,947	54,947	57,042	
Supplies & Materials other	15,000	17,000	17,000	17,000	17,000	
Equipment / Furniture	85,000	25,000	125,000	25,000	50,000	
Telephone	38,000	38,000	38,000	38,000	38,000	Includes internet service
Technology	94,000	95,000	100,000	100,000	100,000	Tech Support for Schoolwide operations
Student Testing & Assessment	23,000	23,000	23,000	23,000	23,000	Specific assessments are to be determined
Field Trips	80,000	50,000	65,000	50,000	50,000	Estimates for instructional field trips and college trips. Costs may be offset by joint trips with UPCHS.
Transportation (student)	32,000	32,000	32,000	32,000	32,000	
Student Services - other	120,000	120,000	120,000	120,000	120,000	Includes funding for special events, incentive programs, mission-aligned initiatives
Office Expense	99,000	99,000	108,900	112,167	115,532	Printing, copying, postage and delivery
Staff Development	49,000	35,000	60,000	35,000	40,000	High end estimates. School leader projects most PD will be internal, thereby reducing expenses.
Staff Recruitment	15,000	15,000	15,000	15,000	15,000	
Student Recruitment / Marketing	19,000	10,000	15,000	15,000	7,500	
School Meals / Lunch	2,500	-	-	-	-	
Travel (Staff)	3,500	2,500	2,500	2,500	2,500	
Fundraising	2,500	2,500	3,000	2,500	2,500	Donor cultivation and outreach
Other	-	-	-	-	-	
TOTAL SCHOOL OPERATIONS	817,170	736,851	935,107	797,874	831,104	
FACILITY OPERATION & MAINTENANCE						
Insurance	80,000	84,000	96,600	101,430	106,502	
Janitorial	25,000	27,500	35,000	35,000	3,500	
Building and Land Rent / Lease / Facility Finance Interest	250,000	650,000	850,000	850,000	850,000	Grade expansion makes UPCMS eligible for facility support from NYCDOE
Repairs & Maintenance	11,000	5,000	5,000	5,000	5,000	
Equipment / Furniture	35,000	15,000	35,000	15,000	7,500	
Security	10,000	15,000	20,000	20,000	20,000	
Utilities	25,000	35,000	36,750	38,588	40,517	
TOTAL FACILITY OPERATION & MAINTENANCE	436,000	831,500	1,078,350	1,065,018	1,033,018	
DEPRECIATION & AMORTIZATION	185,000	175,000	175,000	175,000	175,000	
DISSOLUTION ESCROW & RESERVES / CONTIGENCY	75,000	-	-	-	-	Dissolution fully funded at end of Year 1.
TOTAL EXPENSES	11,670,440	13,672,529	15,719,842	16,957,357	18,315,689	
NET INCOME	174,930	128,128	882,178	(495,924)	(1,406,592)	

5 YEAR BUDGET AND CASH FLOW ADJUSTMENTS	UNIVERSITY PREP PUBLIC SCHOOLS, INC. PROJECTED BUDGET / OPERATING PLAN FOR INITIAL CHARTER PERIOD 2019-20 THROUGH 2023-24					DESCRIPTION OF ASSUMPTIONS
<i>*NOTE: Projected Five Year Budget on this tab should be for the first five years of actual operations.</i>						<i>*NOTE: State assumptions that are being made in the section provided below.</i>
Total Revenue	11,845,369	13,800,656	16,602,020	16,461,433	16,909,097	
Total Expenses	11,670,440	13,672,529	15,719,842	16,957,357	18,315,689	
Net Income (Before Cash Flow Adjustments)	174,930	128,128	882,178	(495,924)	(1,406,592)	
Budgeted Student Enrollment	614	738	892	892	926	
	Year 1 2019-20	Year 2 2020-21	Year 3 2021-22	Year 4 2022-23	Year 5 2023-24	
ENROLLMENT - *School Districts Are Linked To Above Entries*						
PRIMARY School District: NYC CHANCELLOR'S OFFICE	614	738	892	892	926	
Other District 1:	-	-	-	-	-	
Other District 2:	-	-	-	-	-	
Other District 3:	-	-	-	-	-	
Other District 4:	-	-	-	-	-	
Other District 5:	-	-	-	-	-	
Other District 6:	-	-	-	-	-	
Other District 7:	-	-	-	-	-	
Other District 8:	-	-	-	-	-	
Other District 9:	-	-	-	-	-	
Other District 10:	-	-	-	-	-	
Other District 11:	-	-	-	-	-	
Other District 12:	-	-	-	-	-	
Other District 13:	-	-	-	-	-	
Other District 14:	-	-	-	-	-	
All Other School Districts	-	-	-	-	-	
TOTAL ENROLLMENT	614	738	892	892	926	
REVENUE PER PUPIL	19,292	18,700	18,612	18,455	18,260	
EXPENSES PER PUPIL	19,007	18,526	17,623	19,010	19,779	
CASH FLOW ADJUSTMENTS						
OPERATING ACTIVITIES						
Example - Add Back Depreciation	185,000	175,000	175,000	175,000	175,000	
Other	-	-	-	-	-	
Total Operating Activities	185,000	175,000	175,000	175,000	175,000	
INVESTMENT ACTIVITIES						
Example - Subtract Property and Equipment Expenditures	(65,000)	(65,000)	(65,000)	(65,000)	(65,000)	
Other	-	-	-	-	-	
Total Investment Activities	(65,000)	(65,000)	(65,000)	(65,000)	(65,000)	
FINANCING ACTIVITIES						
Example - Add Expected Proceeds from a Loan or Line of Credit	-	-	-	-	-	Supplemental non-guaranteed sources of funding are intentionally omitted.
Other	(250,000)	-	-	-	-	
Total Financing Activities	(250,000)	-	-	-	-	
Total Cash Flow Adjustments	(130,000)	110,000	110,000	110,000	110,000	
NET INCOME	44,930	238,128	992,178	(385,924)	(1,296,592)	
Beginning Cash Balance	2,000,000	2,044,930	2,283,057	3,275,235	2,889,311	
ENDING CASH BALANCE	2,044,930	2,283,057	3,275,235	2,889,311	1,592,719	

5-YEAR FISCAL IMPACT REPORT

Largest Enrollment District: NYC CHANCELLOR'S OFFICE							
A	B	C	D (B X C)	E	F (D + E)	G	H (F ÷ G)
Operational Year	Enrollment (Number of Students)	Per Pupil Rate	Per Pupil Aid	Other District Revenue (SPED Funding, Food Service, Grants, Etc.)	Total Funding to Charter School From District	* Total General Fund Operating Budget for NYC CHANCELLOR'S OFFICE School District	Projected Impact (% of District's Total Budget)
Year 1 (2019-20)	614	15,827	9,717,778		9,717,778	30,800,000,000	0.032%
Year 2 (2020-21)	738	16,144	11,913,933	-	11,913,933	30,800,000,000	0.039%
Year 3 (2021-22)	892	16,466	14,688,038	-	14,688,038	30,800,000,000	0.048%
Year 4 (2022-23)	892	16,631	14,834,919	-	14,834,919	30,800,000,000	0.048%
Year 5 (2023-24)	926	16,631	15,400,375	-	15,400,375	30,800,000,000	0.050%

DESCRIPTION OF SOURCE FOR PRIMARY DISTRICT'S OPERATING BUDGET:	Source: http://schools.nyc.gov/AboutUs/funding/overview/default.htm . NYCDOE projects a budget of \$30.8 billion for the 2017-2018 school year.
OTHER NOTES:	

Second Largest Enrollment District: N/A							
A	B	C	D (B X C)	E	F (D + E)	G	H (F ÷ G)
Operational Year	Enrollment (Number of Students)	Per Pupil Rate	Per Pupil Aid	Other District Revenue (SPED Funding, Food Service, Grants, Etc.)	Total Funding to Charter School From District	* Total General Fund Operating Budget for Select from drop-down list → School District	Projected Impact (% of District's Total Budget)
Year 1 (2019-20)	-	-	-	-	-	-	#DIV/0!
Year 2 (2020-21)	-	-	-	-	-	-	#DIV/0!
Year 3 (2021-22)	-	-	-	-	-	-	#DIV/0!
Year 4 (2022-23)	-	-	-	-	-	-	#DIV/0!
Year 5 (2023-24)	-	-	-	-	-	-	#DIV/0!

DESCRIPTION OF SOURCE FOR PRIMARY DISTRICT'S OPERATING BUDGET:	
OTHER NOTES:	

University Prep Charter Middle School
R-21f – Letters of Commitment

The Founding Team for University Prep Charter Middle School has not sought or obtained any funding from private contributions, grant funds, or other philanthropic sources. This request is not applicable to the applicant.

University Prep Charter Middle School
R-21g – Non-SUNY Financials

This request is not applicable.

University Prep Charter Middle School will adhere to the Action Plan guidance provided by the Institute. The following pages include the point-by-point checklist to be used by UPCMS staff in preparing for launch. In the immediate short-term, critical action items include:

Objective	Action Item	Timeframe
Secure confirmation on public or private space	Complete Facility Request phase from NYCDOE	July 2018 – September 2018
	Engage Developers on Options for Private Space in CSD 7	June 2018 – Ongoing
Secure additional funding for Year 0 start-up	Write grants to providers of start-up funding; Walton, etc.	July 2018 – September 2018
Create hiring structures for UPCMS Founding Team members	Initiate search for Operations Lead and Administrative Assistant to support principal	August 2018 – November 2018
Hire the best available teachers – early!	Build structures for aggressive faculty hiring	September 2018 – May 2019
Update budget for planning and hiring purposes	Revise budget based on space determination from NYCDOE	Aug-18
Build collaborative leadership structures	Establish meeting schedule for prospective Superintendent and UPCMS principal in residence	Jul-18
Differentiate UPCMS	Develop marketing message and advertising/enrollment materials for UPCMS	September 2018 – December 2018
Attract parents and families to UPCMS	Implement Outreach campaign and continue to collect feedback from community residents	August 2018 - Ongoing
Prepare to gather and use data for essential tasks	Build in-house data collection systems with Operations Director and Administrative Asst.	July 2018 - Ongoing

University Prep Charter Middle School
R-23a – Supplemental Narrative

This request is not applicable. The application does not include supplemental information.

University Prep Charter Middle School
R-23b – Supplemental Documents

This request is not applicable.