

facilities.<sup>16</sup> In addition, the National Assessment of Educational Progress found that only 15% of African American fourth graders and 21% of Hispanic fourth graders are proficient in science, compared with 51% of white students and 55% of Asian students.<sup>17</sup> This gap only widens as children approach graduation, when only 5% of African American high school seniors and 9% of Hispanic high school seniors are proficient in science, compared with 29% of white students and 39% of Asian students.<sup>18</sup> Such students accordingly receive high school diplomas without the skills necessary to secure high-paying jobs in science-related fields. Zeta aims to reverse this trend by providing students with a solid foundation so that they can excel in science classes in middle and high school. In furtherance of this goal, the Zeta curriculum ensures that all students receive discovery-based experimental science instruction five days per week, beginning in Kindergarten.

Instead of directly teaching the content that is necessary for mastery, Zeta students engage in hands-on, rigorous activities that put them into the shoes of a scientist/engineer. In Kindergarten, students start out the year learning about what humans and plants need to survive, engaging in many experiments to stand in the shoes of a true scientist. These experiments may include observing and growing garlic plants, going on Science walks to observe correlations to their environment and survival, and even dissecting fruits and vegetables weekly to compare and contrast human, plant, and animal needs. Throughout these units, students are able to work with their classmates, present to the class their findings, and, most importantly, dive into hands-on lessons to discover deep truths about science.

First grade science begins with a unit designed to teach students that plants and animals have specific features that enable them to survive. Students create models, as all scientists do, in order to show a shark's sharp teeth, a porcupine's quills, etc. Students then present their 3D clay model findings to the class, using notes and research from their lab notebooks, and receive feedback from their peers on how they could make their models stronger. Student models and presentations are researched using a variety of books, videos, and experimental results. Following this, first graders embark upon an Animal Adaptations unit, where students literally put themselves in the "shoes" of a traveler visiting various geographies to learn about the evolutionary attributes needed for animals to survive, such as traction to walk on the ice in Antarctica or protection from harsh temperatures in the Sahara. Students have the opportunity to design their own model of a tennis shoe they would take with them to a specific environment. This assessment determines the depth of student understanding regarding adaptation for survival. Zeta students demonstrate mastery by showing how the qualities of the shoe (such as method of locomotion and camouflage) directly relate to the success of the shoe in its targeted

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<sup>16</sup> "Latino, African-Americans have less access to math, science classes, new data show," available at <https://edsources.org/2018/latino-african-americans-have-less-access-to-math-science-classes-new-data-show/598083>

<sup>17</sup> Science statistics come from the National Assessment of Educational Progress, 2015, available at [https://www.nationsreportcard.gov/science\\_2015/#acl/chart\\_loc\\_2?grade=4](https://www.nationsreportcard.gov/science_2015/#acl/chart_loc_2?grade=4)

<sup>18</sup> Science statistics come from the National Assessment of Educational Progress, 2015, available at [https://www.nationsreportcard.gov/science\\_2015/#acl/chart\\_loc\\_2?grade=12](https://www.nationsreportcard.gov/science_2015/#acl/chart_loc_2?grade=12)

environment. Sample student work from this assessment is included in the Zeta Portfolio attached in **Response 23(b) - Supplemental Attachments**.

In order to develop technological literacy, Zeta Kindergarten and first grade students learn how to effectively use computers to create and program a computer animation of their choice. To instill programming and computational thinking skills, Kindergarten students use Bee Bots, or robot bumble bees, to learn that by giving a robot specific directions, you can program them to do whatever you want — similar to how real engineers program robots to do specific jobs.

Future grades continue to use units based on content from Amplify and Project Lead the Way to explore all science content. Later units include studies and experiments on early biology and physics content, including motion, forces, molecular study, and evolution. As students grow, content will become multi-faceted, and may involve experiments designed by students and collaborative projects that extend over multiple days.

Professional development is at the heart of our science program. Our dedicated science teachers participate in weekly science development with our internal science curriculum developer. Teachers study upcoming lessons by themselves engaging in the experiments students will be completing, and analyzing ways that the lesson is designed to succeed as well as any pre-mortems that should be considered prior to teaching the lesson to students. Science teachers also regularly study student work and identify what content students understand and master as well as standards that should be revisited in upcoming units. Zeta leadership ensures that our science teachers participate in regular professional development with other teachers and staff to learn techniques for classroom management and student engagement, as well as collaborate with teachers and network staff regarding students with special needs.

### **Z Lab**

At the heart of each Zeta school is our Z Lab (Innovation Lab) — a state-of-the-art creator's space where students can explore all things science, engineering, design, and technology. Z Lab provides students of all ages with the time, resources, and materials they need to learn in a rigorous way through design thinking and hands-on experimentation and play that crosses all disciplines. Z Lab is designed to be a place where student creativity is fostered, and instills independence, flexibility, and confidence in students as a direct result. There is a wide array of activities that students are able to navigate by themselves in Z Lab, including a floor to ceiling Lego wall, wooden block building activity, play dough exploration, as well as abundant materials like popsicle sticks, cardboard, and glue to create whatever it is students can envision.

In early grades, the Z Lab functions as a collaborative problem solving and maker space. Students are tasked with designing better bridges, envisioning how to improve modes of transportation, and, during Project Based Learning, connect their historical learning to consider how to solve issues for communities in the past. Z Lab is also an opportunity for students to participate in Project Lead the Way design units and connect to what students are learning in the science lab.

In older grades, the Z Lab will be an engineering and technology-based design space for students. Students will engage in independent studies and long-term group projects that require them to balance the scientific method with high-level design thinking. The methods of problem solving continue from early elementary: proposing real-world problems that students are inspired by and invested in to creatively design possible solutions, and testing these solutions to change or improve them. As students grow, the contexts will become more challenging, and the equipment will become more sophisticated, including laser and 3-D printers, robotics equipment, and larger scale construction materials.

Similar to our science and other academic content development, the core value that underlies all of our professional learning is that adults, like students, learn by doing and experiencing. We have visited numerous innovation laboratories across the United States to learn what other innovators are doing, including the New Lab in the Brooklyn Navy Yards and school-based innovation laboratories. Additionally, our school leaders and science curriculum developer have attended an external Project Lead the Way training. This training allowed leaders to learn science and design content in a hands-on way, just as our students will experience it, and then transfer that knowledge to their school-based teaching teams.

Our internal Z Lab professional learning opportunities also immerse teachers and leaders in the experiences children will have in Z Lab. As a part of this professional learning, our adults build bridges that must withstand the weight of many coins, participate in the design and problem-solving processes that our students experience, and use the resources and materials in the Z Lab to collaboratively complete projects our students will create during Project Based Learning Units.

See the Zeta Portfolio in **Response 23(b) - Supplemental Attachments** for more detail on Z Lab, including curriculum, video of Z Lab programming, and a sample training on Z Lab.

### **Health & Well-being**

Health and well-being programming at Zeta schools emphasizes healthy choices with regard to eating, physical activity, and mindfulness. Students learn about and practice health and well-being throughout the day. In the lower grades, the focus is on movement education and exploration, as well as mindfulness of self and others. Students are taught about spatial awareness and interacting with peers with an emphasis on games, rhythms, and locomotor/movement concepts. Awareness of one's actions and choices is emphasized. In the upper grades, the curriculum explores personal fitness, sports, and games. In each unit, game rules are introduced with a focus on sportsmanship, teamwork, skill development, and strategy. Physical education is taught through a sports class that allows students to learn the basic skills of team sports, including ball handling, passing, throwing, and safe kicking.

### Compass Social-Emotional Learning

Teachers use a modified version of the Valor Compass Developmental Pathways curriculum to foster the development of mindfulness in students. Valor's Compass curriculum supports students in developing ten habits across five disciplines: Sharp Mind (curiosity & diversity),

Noble Purpose (joy & identity), Big Heart (courage & kindness), Aligned Actions (determination & integrity), and True North (balance & presence). True North lies at the center and is core to all of the other disciplines. The “Compass Developmental Pathway” is a competency-based framework that breaks each of the ten habits into phases of learning, and provides a collection of activities and projects to help students develop mastery of the habits over time.

In order to make Compass’s competencies and habits accessible to elementary students, Zeta has adapted the curriculum to be integrated throughout the school day, including through targeted instruction and community circles, as well as by encouraging discussion and demonstration of habits throughout the day. As a part of their morning meeting, students start the day by discussing the value of the month and recognizing each other for specific actions they saw that reflected that value. Throughout the day, including during specialist classes, students earn Compass points for demonstrating the value of the month. Once a week, teachers guide students through a scripted lesson focusing on each of the Compass habits. Lessons include read alouds, guided practice, and activities where students can practice or experience what they are learning. Additionally, once per week, each student participates in a teacher-led community circle. Teachers and leaders guide the sessions in a specific, predictable structure, creating a sense of safety in consistency. The core components of the circle include practicing breathing and mindfulness, identifying emotions and their connections to our lives, practicing activities that demonstrate the Compass habits, and showing gratitude to others through sharing appreciations. Mindfulness work is intended to foster growth in body, heart, mind, and spirit in pursuit of excellence in every dimension. Research has shown that mindfulness can improve attention<sup>19</sup> and creates changes in the brain that correspond to less reactivity,<sup>20</sup> and better ability to engage in tasks even when emotions are activated.<sup>21</sup>

Because the Valor Compass Developmental Pathways<sup>22</sup> was designed for implementation in grades 5-12, we have modified the design by simplifying the pathways as follows:

Discipline	Habit	Start Line	Pathway Highlights Grades K-5	Finish Line
True North	Presence	Very little intentional presence	Understanding the concept of attention and focus, natural tendencies of attention, and learning to identify those	Bring an intentional and curious attention to the present moment
			Learning to use the breath and senses to	Focused awareness

<sup>19</sup> Chiesa, A., & Serretti, A. (2009). Mindfulness-based stress reduction for stress management in healthy people: a review and meta-analysis. *The Journal of Alternative and Complementary Medicine*, 15(5), 593–600.

<sup>20</sup> Goldin, P. R., & Gross, J. J. (2010). Effects of mindfulness-based stress reduction (MBSR) on emotion regulation in social anxiety disorder. *Emotion*, 10(1), 83.

<sup>21</sup> Ortner, C. N., Kilner, S. J., & Zelazo, P. D. (2007). Mindfulness meditation and reduced emotional interference on a cognitive task. *Motivation and Emotion*, 31(4), 271–283.

<sup>22</sup> Adapted from the Compass Developmental Pathways framework, available here: <https://docs.google.com/spreadsheets/d/1XhFFJMWoUdn-3XsRKD2Sr-59iCaiBy4EPprnkAacwGw/edit#gid=443167631>.

			anchor attention	for 10-15 minutes
	<b>Balance</b>	Very little sense of an inner world  Some self-regulation via healthy family attachment	Learning to identify emotions  Exploring self-regulation practices through the use of breathing to calm the body  Understanding the idea of balance and re-balancing as necessary to move toward balance	Demonstrate practices and skills to self-regulate and move toward balance in the face of stressors  Identify stressors and how they impact our sense of balance
<b>Noble Purpose</b>	<b>Identity</b>	Little sense of their preferred life story  Some grounding in religious-based self-stories and/or family value systems	Identifying key aspects of their history, culture, or religion that are a part of who they are  Beginning to understand strengths and ability to tell self-story  Identifying values and relationships and communities that support their values  Understanding sense of self as individuals and sense of self as part of a community	Articulate personal values and define a preferred self-narrative  Articulate ways their actions contribute to their self-narratives
	<b>Joy</b>	Most have a sense of joy  Most mistake happiness and pleasure for joy	Sharing an artifact of importance with the community  Exploring ways to develop joy through acts of kindness and an understanding of values  Understanding human need for joy, and connections to motivation, gratitude, kindness, self-compassion, and positivity  Externalizing feelings (e.g., if I feel angry, it does not make me an angry person)	Articulate the difference between joy and pleasure or happiness  Explain how their values bring them joy
<b>Aligned Actions</b>	<b>Integrity</b>	Few understand integrity as a rule-based ethic  Most experience right and wrong only in relationship to others (i.e., being caught or not)	Connecting to values, skills, and dreams  Understanding of values (generally)  Identifying personal values  Holding themselves and others accountable to community commitments or values	Make choices aligned with personal values and self-narrative  Describe practices and skills they use, and strengths and relationships they draw on, when enacting values is difficult

	<b>Determination</b>	Wide variance in ability to sustain focus and effort	<p>Understanding the definition of determination and what it looks/feels like</p> <p>Understanding of what skills and mindsets support determination</p> <p>Understanding relationships between effort and achievement</p> <p>Developing and strengthening skills by planning, getting feedback, revising, and/or trying a new approach</p>	<p>Demonstrate ability to sustain their focus on a long-term goal</p> <p>Identify obstacles to goals and describe the skills and practices they use, and strengths and relationships they draw on to overcome these obstacles and achieve their goals</p>
<b>Big Heart</b>	<b>Courage</b>	Varying abilities to be vulnerable within a safe context, depending on level of self-awareness	<p>Identifying courage and fear as natural states and understanding fear is meant to keep us safe and courage supports our growth</p> <p>Applying strengths and courage tools to manage fears</p> <p>Reflecting on growth</p>	<p>Articulate growth areas and how fear sometimes holds them back</p> <p>Seek out support and learn skills to help them take risks and act with integrity and vulnerability in the presence of fear or anxiety</p>
	<b>Kindness</b>	<p>Wide variance in ability to recognize needs of others</p> <p>Few have internalized ethics and enact these</p> <p>Most are still fairly self-centered</p>	<p>Recognizing "basic goodness" of self and others</p> <p>Exploring ways in which they are kind and unkind to themselves and to others in thoughts, speech, and actions</p> <p>Understanding that kindness builds greater self-kindness (<i>i.e.</i>, positive self-talk, gratitude, self-compassion, and forgiveness) and kindness to others</p> <p>Identifying and committing to actions they can take in the community to exhibit/model and teach kindness</p>	Demonstrate an ability to resonate with other's experience, identify own and other's needs, and act in a way that meets those needs
<b>Sharp Mind</b>	<b>Curiosity</b>	Most have a strong connection to curiosity with regard to content/world	<p>Maintaining a curious attitude about themselves, their relationships, and their environment over time</p> <p>Showing curiosity within a new skill of</p>	Demonstrate a desire to know more about their inner experience, relationships, and the world

		Most have not been exposed to curiosity with regards to inner experience	interest (e.g., playing a sport, playing an instrument, cooking, etc.) and gaining understanding of the role that curiosity plays in building new skills, knowledge, confidence, and more exploration (i.e., intentionally seeking out novel experiences in an effort to build their "curiosity muscle")	
	<b>Diversity of Perspective</b>	Few capable of taking others' perspective and valuing/honoring those perspectives  Most cannot fully articulate their own perspective	Recognizing the similarities and differences between themselves and others in the school community  Recognizing the strength in diversity through identification of the values of those different from themselves  Seeking to understand and appreciate others' points of view by identifying values that are foundational to others' opposing perspectives	Demonstrate an ability to describe their perspective, relationships, and the importance of learning about different perspectives  Demonstrate a respect for different perspectives

Teachers are trained and supported by the Head of Social-Emotional Learning and School Psychologists during the summer and throughout the year. Additionally, all adults at Zeta also engage weekly in adult community circles during professional learning days, to better enable them to lead students authentically through this practice. Because the Compass habits and developmental pathways remain consistent across all grades, the objectives remain largely the same across grades, though its implementation is adapted over time as students are capable of more high-level thinking, expression, and emotional engagement. However, teachers have some flexibility to address issues and needs as they arise, with support from the School Psychologist and the Academic Director.

See the Zeta Portfolio in **Response 23(b) - Supplemental Attachments** for more detail on Compass curriculum, video of a Compass circle, and Compass planning and assessment materials.

### **Specialist Programming**

In addition to a rich and rigorous academic curriculum, Zeta schools have a carefully designed and robust specialist program that, at the proposed schools, may include art, music, Taekwondo, chess, and sports, although specific specialist offerings may be adjusted based on availability of qualified instructors and student interests. Offering robust specialist programming is a critical part of Zeta's strategy to mine each student's unique potential. Zeta specialist offerings, both during the day and after school, are designed to foster students' individual talents and passions and keep students engaged throughout the school day. Our specialist programming serves to foster well rounded, healthy students who are also scientists, writers, readers, and critical thinkers.

Students experience specialist programming during and after the school day. Zeta also offers numerous opportunities for students to explore and learn on trips to cultural institutions, iconic and historic destinations, world-class performances, and educational play spaces.

See the Zeta Portfolio in **Response 23(b) - Supplemental Attachments** for more details on specialist programming at Zeta, including video of specialist classes and work samples.

## **(b) Assessment System**

### Zeta Assessment System

We believe that accurate data about student mastery and growth is essential to creating a school program that meets the academic needs of our students. Zeta is committed to leading with data, using data to drive decisions about curriculum and instruction. To that end, the proposed schools regularly assess students on all areas of the curriculum, gaining an accurate view into where students are strong and where they need additional support to master concepts. The assessment systems at Zeta include both valid national diagnostics and internally-created assessments that are both formative and summative, measuring mastery of critical concepts based on the New York State Next Generation Learning Standards, as well as rigorous internal standards. Assessments are standardized so as to provide both absolute and comparative measures of progress toward academic goals.

Zeta-developed assessments are centrally developed and overseen by the Managing Director of Academics to ensure that they:

1. Align with standards set forth by the New York State Next Generation Learning Standards and Zeta's rigorous benchmarks.
2. Help teachers and leaders understand gaps in student understanding so the school can better understand how to support the lowest-performing students.
3. Help teachers and leaders understand how to challenge the highest-performing students.
4. Provide clear instructions and guidelines to facilitate efficient administration.
5. Include technology and/or hands-on elements suited for use in a classroom/school environment.
6. Assess whether students are able to apply what they have learned in a variety of contexts.

As highlighted above, all assessments and instructional materials are chosen or designed to match Zeta's own high standards for student achievement. By adopting more rigorous benchmarks than those set forth by New York State, Zeta can ensure that all students are able to achieve proficiency or better on state assessments.

Assessments drive instruction, and as detailed below, these assessments are given in several formats on weekly, biweekly, monthly, and quarterly cycles. Because instructional planning is

based on assessment results to improve instruction and raise student achievement, instructional leaders and teachers follow a structured data analysis cycle that mirrors the assessment cycle. The operative element is time; student work and assessments drive instruction immediately. All instructional leaders, teachers, parents, and students know where students stand at all times, and know what the corresponding academic plan will be to remediate, maintain, or accelerate instruction.

The assessment and data cycle is as follows:

- Day 1: Assessments given and graded
- Day 1: All data entered into data system, with question-by-question achievement breakdown
- Day 1 or 2 (dependent on length and complexity of assessment): Instructional team (Managing Director of School/Principal, Academic Director, Student Achievement Associate or Manager, and teachers) meet to analyze data:
  - Macro-trends identified
  - Micro-trends identified, including pinpointing each student's achievement level and the areas in which he/she struggles
  - Students grouped by mastery levels
- Day 1 or 2: Instructional team plans interventions to address student needs
- Day 2 through following biweekly or monthly data cycle: Instructional plan implemented and revised as needed

This assessment and data cycle process enables Zeta's leadership to use assessment data to monitor and make real-time improvements and changes to the school's curriculum and instruction, including changes to remediation, enrichment, professional learning, and personnel. In addition, this data collection and data sharing benefits teachers, who will be able to use assessment data to make changes and improvements to curriculum and instruction and plan for differentiation or re-teaching a key skill where data indicates that student learning was inadequate the first time. Furthermore, the standardized process assists with developing a common understanding between and among teachers and administrators of the meaning and consequences of assessment results, including access to remediation and promotion to the next grade.

An sample assessment calendar is included in the Zeta Portfolio in **Response 23(b) - Supplemental Attachments**.

A summary of the planned assessments, their administration, and how they are used is below.

### ELA Assessments

**Fountas & Pinnell Benchmark Assessment (F&P) — Reading Grades K-5**

**Purpose:** To assess students' reading ability, specifically looking at accuracy, fluency, and, above all, comprehension.

**Rationale for Selection:** Nationally recognized and widely used assessment with a strong comprehension component; benchmarked against F&P book-leveling system.

**Format & Administration:** F&P is administered one-on-one mostly by head teachers with some support from resident teachers and leaders. Teachers select a book along a 26-level continuum (levels A-Z) and assess how fluently and accurately the students can read. The teacher then conduct a comprehension conversation to see how well the student understood the story.

**Quality Control:** Managing Directors of School/Principals, Academic Directors, Associate Academic Directors (if applicable), and/or Student Achievement Coordinators or Managers quality control testers by observing one-on-one tests and analyzing each student's reading folder to ensure the test was administered consistently.

**Performance Expectations:** By the end of the year, 75% of students will be reading on grade level.

**Data Collection & Analysis:** The Managing Director of School/Principal, Academic Director, Associate Academic Director (if applicable), Student Achievement Coordinator or Manager, and/or teachers collect all assessment data. Results are analyzed to understand the distribution of levels, which students are not meeting or exceeding expectation, and who may need further interventions in the classroom or with tutoring.

**Reliability of Results:** We observe students' independent reading levels and how quickly they are able to grow. We compare our observations with results from the test as well as informal results to get a holistic sense of student performance and growth.

**Use of Data:** Teachers use data to differentiate instruction, ensure that students are in appropriate reading groups, and pair students with proper books for independent reading, as well as understand which students need additional interventions. Leaders use data for student promotion decisions, teacher evaluations, and to understand which students need tutoring and other interventions. Data is shared with Board members so that they can understand the state of the schools and use data to inform leader evaluations.

Data is included in progress reports for parents, and teachers frequently call or email parents to inform them of students' progress in reading. Parents use data to understand students' reading progress, inform discussions with teachers, and know what leveled books to read at home.

Teachers conference with students so they understand their own growth in reading.

### **Informal Fountas & Pinnell Testing — Reading Grades K-5**

**Purpose:** To assess how students are advancing in reading so teachers can better tailor instruction in real-time.

**Rationale for Selection:** We administer informal F&P check-ins to see how students' reading skills are developing from month-to-month. Since teachers administer the actual formal Fountas & Pinnell only four or five times a year, the Informal F&P provide teachers with more frequent, timely data.

**Format & Administration:** Much like the Fountas & Pinnell test, informal testing is administered by all teachers one-on-one, where the student reads a story to the teacher. The teacher then asks the student questions about the story to see how well s/he understood it.

**Quality Control:** One of the goals of the Informal F&P is to ensure that teachers are leveling students properly and giving them independent reading books that are not too easy or too hard. The Managing Director of School/Principal, Academic Director, and Associate Academic Director, if applicable, go around to classrooms and read with students at random to make sure they are properly matched to a reading level. If school leadership observes a discrepancy, the teacher immediately follows up to make sure the student is properly leveled.

**Performance Expectations:** By the end of the year, 75% of students will be on grade level.

**Data Collection & Analysis:** The Student Achievement Associate or Manager at each school collect results from teachers. Results are compiled and analyzed by teachers and leaders in grade-team meetings.

**Reliability of Results:** Results from the Informal F&P alongside those from the formal F&P show us how students are progressing throughout the school year.

**Use of Data:** Teachers and leaders use data to monitor students' reading growth from month-to-month in order to ensure everyone is moving toward the end-of-year F&P goal. Leaders also use data to help teachers differentiate instruction for students struggling with reading.

Teachers discuss results with parents through conferences, phone calls, or parent letters or emails so that they can monitor their student's reading growth from month-to-month to

ensure s/he is moving toward the end-of-year F&P goal. Teachers conference with students to tell them their reading growth to help them self-monitor so they can attain their individualized end-of-year F&P goal.

## **NY State Identification Test for English Language Learners (NYSITELL) — Language Grades K-5**

**Purpose:** To assess students' English language acquisition.

**Rationale for Selection:** State requirement.

**Format & Administration:** The NYSITELL has 4 sections: listening, speaking, writing, and reading. Each section is administered separately, either whole-group or one-on-one, by designated teachers or school staff who have received training in NYSITELL administration.

**Quality Control:** Tests is administered adhering to all state-mandated protocols.

**Performance Expectations:** By the end of the year, 75% of students who qualify as ELLs will pass the NYSESLAT test (the New York State English as a Second Language Achievement Test, which assesses student English language proficiency).

**Data Collection & Analysis:** Results are sent to relevant SED/DOE office for processing.

**Reliability of Results:** This test is designed to measure the English language proficiency of students who have been identified as having limited English proficient (LEP).

**Use of Data:** Teachers and leaders use NYSITELL data to identify ELLs in their school. Data is shared with the Zeta board to provide a picture of Zeta's student ELL population, as well as for understanding of the schools' success in meeting the needs of ELLs.

Leaders send home a letter to parents so that they understand whether their student needs ESL services. Teachers conference with students to discuss growth areas in English so that students understand their English language ability and the work they need to do to graduate from ELL status.

## **Writing Prompt — Writing Grades K-5**

**Purpose:** To assess students' ability to write, looking specifically at their ideas, structure, details and conventions.

**Rationale for Selection:** Writing assessments are selected and developed by the Managing Director of Academics based on New York State Next Generation ELA Standards, using parallel texts at a level and genre that has been taught to ensure mastery and content to be taught to gauge critical thinking. Assessments sets a high bar: student writing is

benchmarked against exemplary writing samples gathered from high-performing charters, private, and public schools around New York.

**Format & Administration:** Each writing prompt asks students to respond to a genre-specific question, which allows teachers and leaders to gauge student writing progress across multiple forms of writing. Administered by head teachers in a whole-class setting in a 45-minute block, students brainstorm, plan, and write their response.

**Quality Control:** Writing prompt responses are scored by a team of evaluators comprised of teachers across Zeta schools. Scorers evaluate writing based on the same rubric.<sup>23</sup>

**Performance Expectations:** By the end of the year, 75% of students will be writing on grade level, as measured on the scoring rubric.

**Data Collection & Analysis:** Scorers input scores into a spreadsheet. Scores are then tabulated to look for trends at schools, within classes, and among students. Teachers then create small groups based on their students' strengths and growth areas. Teachers meet with these small groups during writing instruction.

**Reliability of Results:** Our Academic Team create writing prompt rubrics that align with our writing curriculum. As a result, rubrics tied to the writing prompt relate to what is being taught in class at the time. In addition to Writing Interim Assessments, performance tasks such as reading responses after independent reading time and during Close Reading are completed 2-3 times/week, which allow for immediate, constant writing feedback.

**Use of Data:** Teachers use data to place students in writing groups based on growth areas and to understand what whole-class teaching should be done to make students great writers. Leaders use data for promotion decisions, teacher evaluations, and to understand who needs tutoring and other interventions. Data is shared with Board members so that they can understand the state of the schools and use data to inform leader evaluations.

Data is included in progress reports for parents, and teachers frequently call or email parents to inform them of students' progress in writing. Parents use data to understand their students' progress and inform discussions with teachers. Teachers conference with students to show them their writing progress, and students compare their writing over the course of the year to understand their growth.

## Stepping Stones — Reading Grade K

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<sup>23</sup> A copy of Zeta's writing rubric and samples of student writing growth as demonstrated on writing prompts are included in the Zeta Portfolio in **Response 23(b) - Supplemental Attachments**.

**Purpose:** To see how well kindergarten students are learning pre-literacy skills such as identifying and sounding out letters, reading consonant-vowel-consonant words, etc.

**Rationale for Selection:** Part of Success For All (SFA) literacy curriculum for kindergarten, which shows how well students are learning pre-literacy skills such as letters, letter sounds, sight words, and consonant- vowel-consonant words.

**Format & Administration:** Head teachers and resident teachers administer Stepping Stones one-on-one to each student. As the student identifies letters and letter-sounds, writes letters, and reads consonant-vowel-consonant words, the teacher enters student responses into a spreadsheet.

**Quality Control:** To ensure consistency, we give every tester the same training in Stepping Stones. As teachers test students, Academic Directors and leaders will observe them to ensure quality. Academic Directors also review results to ensure teachers record results properly.

**Performance Expectations:** By the end of the year, 75% of students will be on grade level.

**Data Collection & Analysis:** Testers enter responses into a spreadsheet. The Academic Director compiles results and reports trends by school, class, and student groups.

**Reliability of Results:** This test is tied to our Success For All kindergarten grade literacy curriculum and covers all decoding and comprehension skills covered in class.

**Use of Data:** Teachers and leaders understand which students need added support to learn pre-literacy skills. Leaders understand which teachers may need extra support to teach pre-literacy skills.

Data is included in progress reports for parents so that they can help students learn pre-literacy skills at home. Teachers conference with students to let them know what letters and letter-sounds they missed and will need to learn.

## **Reading Roots — Reading Grade 1**

**Purpose:** To see how well students are learning literacy skills taught through the Success For All Roots program for first grade. By looking at accuracy, fluency, and comprehension, we measure students' reading ability.

**Rationale for Selection:** Part of Success For All literacy curriculum for Grade 1, known as Roots, which shows how well first graders are advancing through the Roots curriculum.

**Format & Administration:** Head teachers and resident teachers administer Roots one-on-one to each student. The student reads a story to the teacher, which is close to the student's reading level. The teacher notes any missed or skipped words, then asks the student questions about the text.

**Quality Control:** To ensure consistency, we give every tester the same training in Roots. As teachers test students, Academic Directors and leaders observe them to ensure quality. Academic Directors also review results to ensure teachers record results properly.

**Performance Expectations:** By the end of the year, 75% of students will be on grade level.

**Data Collection & Analysis:** Teachers submit data to their school's Academic Director. The Academic Director compiles results looking for school-wide and class-level trends. Among other things, the Academic Director looks for students who are below, on, or above grade-level.

**Reliability of Results:** This test is tied to our Success For All first grade literacy curriculum (called Roots) and covers all decoding and comprehension skills covered in class. We use results to create reading groups. This test helps us accurately place students in the correct reading level. In the few cases where the data might be off, we quickly switch a student's group to match their ability.

**Use of Data:** Teachers use data to understand which students are on-track or not on-track to achieve year-end literacy goals and to differentiate instruction for highest and lowest performers. Leaders use data for promotion decisions, teacher evaluations, and to understand who needs tutoring and other interventions.

Teachers call parents of students with low scores to encourage them to keep reading at home, and to inform them about leveled books to read at home. Teachers conference with students to tell them their current Roots level and their goals for the next testing cycle.

## **Measures of Academic Progress (MAP) — ELA Grades K-2**

**Purpose:** To contextualize our students' performance on a national level by administering a nationally normed test.

**Rationale for Selection:** Recommended by other high-performance charter networks, it is computer-adaptive to understand every student's academic ceiling.

**Format & Administration:** All K-2 teachers oversee the administration of this test, where students take the test on a computer. The program adapts the difficulty of questions based on questions the student answers incorrectly.

**Quality Control:** Teachers and students receive similar training on how to use the software. Computer labs in all schools are set up in tandem to ensure similar testing environments. Software creates a similar testing experience for each tester, though the questions themselves might be harder/easier to match students' ability.

**Performance Expectations:** By the end of the year, 75% of students will be on grade level.

**Data Collection & Analysis:** Results are captured electronically right after the student completes each section of the test. Results are analyzed with teachers to understand students' growth areas.

**Reliability of Results:** MAP is a nationally normed test. Students are taught to take the test seriously and do their very best. Parents are notified that their students are taking an important test so they can encourage students to do their best.

**Use of Data:** Teachers use data to understand each student's mastery of language usage and reading, which students may need extra support, and which should get enrichment tasks. Leaders use data to understand school-wide performance and class-level growth areas. Leaders and Board members use data to compare school performance with other schools across the country.

Leaders send home a letter or email to parents so that they understand their student's mastery of language usage and reading, and whether they may need extra support or should get enrichment tasks. Teachers conference with students to let them know their strengths and their growth areas, and to set goals for mastering standards in ELA.

### **State ELA Test — ELA Grades 3-8**

**Purpose:** To understand how well students are learning and retaining New York State standards for ELA.

**Rationale for Selection:** State requirement.

**Format & Administration:** This is a multi-day test administered whole-group by all teachers in grades 3 and up that incorporates multiple-choice, short-response, and essay questions.

**Quality Control:** Test is administered adhering to all state-mandated protocols.

**Performance Expectations:** 75% of students achieve a Level 3 or 4.

**Data Collection & Analysis:** Results are sent to relevant SED/DOE office for processing.

**Reliability of Results:** We align instruction to state ELA standards.

**Use of Data:** Teachers use data to understand class mastery of ELA standards, which students may need extra support, and which should get enrichment tasks. Leaders use data to understand school-wide performance and class-level growth areas. Leaders and Board members use data to compare school performance with other schools around the city and state.

The SED/DOE sends home a letter to parents so that they understand whether their student mastered ELA standards and which ones need to be retaught. Teachers conference with students to let them know their state ELA scores so that they understand the standards they mastered and which ones they still need to master.

## Math Assessments

### **Counting Jar/Money Jar — Math Grades K-3**

**Purpose:** To assess how students count objects, add/subtract quantities, estimate amounts, and count money.

**Rationale for Selection:** Counting Jar and Money Jar are part of our Cognitively Guided Instruction (CGI) program in math. The goal of CGI is to get students to think conceptually about mathematics by doing their own investigations. After reviewing extensive research and aligning with the recommendation of many math education experts, we adopted Counting Jar and Money Jar as part of CGI so that we can better understand how our students are learning math concepts such as counting, skip counting, adding, and subtracting.

**Format & Administration:** All teachers in grades K-3 meet individually with each student and give the student performance tasks to complete, such as counting a set of objects. The teacher observes what strategies the student employs to solve the problem, how fluently s/he is able to access those strategies, and whether s/he was accurate.

**Quality Control:** Teachers administer the same set of performance tasks across all schools. Teachers are trained similarly and employ the same rubric for evaluating students.

Managing Directors of School/Principals and Academic Directors observe teachers as they administer the test.

**Performance Expectations:** By the end of the year, 75% of students will be on grade level.

**Data Collection & Analysis:** The Student Achievement Associate or Manager at each school collect results from teachers. Results are compiled and analyzed by teachers and leaders in grade-team meetings.

**Reliability of Results:** Counting Jar and Money Jar mirror what students are working on in math through CGI. These assessments show strategies along a continuum to see where students are developing along that continuum.

**Use of Data:** Teachers use the assessment to observe students in their class apply math concepts to performance tasks, and use the data to understand each student's stage of development along the Counting Jar/Money Jar continuum. Leaders use the data to understand the various stages of development among students at their schools and to follow up with teachers about strategies to deepen students' mathematical understanding and conceptual thinking.

Teachers discuss observations from this assessment with parents during conferences or phone calls so that they more fully understand their student's grasp of conceptual math on a more anecdotal level than is provided through math interim assessment results. Since this test provides teachers with an opportunity to simply observe the student, the test results themselves are secondary. The reteaching that occurs afterward will more greatly influence student achievement.

### **Interim Assessment - Math (IA) — Math Grades K-8**

**Purpose:** To understand how students are learning and retaining math instruction as taught through TERC, CFL, and CGI math programs. To stretch students' thinking and to show teachers where knowledge breakdowns occur in student thinking.

**Rationale for Selection:** Math assessments are selected and developed by the Managing Director of Academics based on New York State Next Generation Learning Math Standards, using math content that has been taught to ensure mastery and content to be taught to gauge critical thinking. Zeta uses cumulative tests that show how well students are learning and retaining math skills; these are created by a team of leaders, teachers, curriculum/assessment specialists, and outside consultants. The questions are designed to stretch student thinking and to show teachers any breakdowns in student understanding so teachers can better differentiate instruction.

**Format & Administration:** Interim assessments may be two-day whole-group tests administered by all teachers that incorporate multiple-choice and open-ended questions.

**Quality Control:** Same interim assessments administered across all schools. Teachers follow the same administration protocols and score the test using the same rubrics and scoring guides.

**Performance Expectations:** By the end of the year, 75% of students will be on grade level.

**Data Collection & Analysis:** The Student Achievement Associate or Manager at each school collects tests, scans, and sends results to the Academic Director and/or Associate Academic Director if applicable. The Academic Director or Associate Academic Director compiles results and creates reports that display school and class-level trends. They also show line-item analysis by students so teachers can better dissect the data.

**Reliability of Results:** These assessments test students on all skills taught over several math units. In addition to Math IAs, performance tasks such as using manipulatives to represent mathematical thinking, math facts quizzes, and exit tickets that check for conceptual understanding are completed 3-4 times/week, which allow for immediate, constant feedback.

**Use of Data:** Teachers use data to understand how well students are learning skills and are able to solve multi-step word problems through our rigorous math curriculum, which also informs differentiation needs. Leaders use data for promotion decisions, teacher evaluations, and to understand who needs tutoring and other interventions. Data is shared with Board members so that they can understand the state of the schools and use data to inform leader evaluations.

Data is included in progress reports for parents, and teachers frequently call or email parents to inform them of students' progress in math so that parents understand whether their student mastered math standards and which ones need to be retaught. Teachers conference with students to let them know their strengths and growth areas according to the IA so that they understand the math standards they mastered and which ones they still need to master.

### **Measures of Academic Progress (MAP) — Math Grades K-2**

**Purpose:** To contextualize our students' performance on a national level by administering a nationally normed test.

**Rationale for Selection:** Recommended by other high-performance charter networks, it is computer-adaptive to understand every student's academic ceiling.

**Format & Administration:** All K-2 teachers oversee the administration of this test, where students take the test on a computer. There are math and reading sections. The program adapts the difficulty of questions based on questions the student answers incorrectly.

**Quality Control:** Teachers and students receive similar training on how to use the software. Computer labs in all schools are set up in tandem to ensure similar testing environments. Software creates a similar testing experience for each tester, though the questions themselves might be harder/easier to match students' ability.

**Performance Expectations:** By the end of the year, 75% of students will be on grade level.

**Data Collection & Analysis:** Results are captured electronically right after the student completes each section of the test. Results are analyzed with teachers to understand students' growth areas.

**Reliability of Results:** MAP is a nationally normed test. Students are taught to take the test seriously and do their very best. Parents are notified that their students are taking an important test so they can encourage students to do their best.

**Use of Data:** Teachers use data to understand each student's mastery of math, which students may need extra support, and which should get enrichment tasks. Leaders use data to understand school-wide performance and class-level growth areas. Leaders and Board members use data to compare school performance with other schools across the country.

Leaders send home a letter or email to parents so that they understand their student's mastery of math and whether they may need extra support or should get enrichment tasks. Teachers conference with students to let them know their strengths and their growth areas, and to set goals for mastering standards in math.

### **State Math Test — Math Grades 3-8**

**Purpose:** To understand how well students are learning and retaining New York State math standards.

**Rationale for Selection:** State requirement.

**Format & Administration:** This is a multi-day test administered whole-group by all teachers in grades 3 and up that incorporates multiple-choice as well as open-ended questions assessing grade level New York State math standards.

**Quality Control:** Test is administered adhering to all state-mandated protocols.

**Performance Expectations:** 75% of students achieve a Level 3 or 4.

**Data Collection & Analysis:** Results are sent to relevant SED/DOE office for processing.

**Reliability of Results:** We align instruction to state math standards.

**Use of Data:** Teachers use data to understand class mastery of math standards, which students may need extra support, and which should get enrichment tasks. Leaders use data to understand school-wide performance and class-level growth areas. Leaders and Board members use data to compare school performance with other schools around the city and state.

The SED/DOE sends home a letter to parents so that they understand whether their student mastered math standards and which ones need to be retaught. Teachers conference with students to let them know their state math scores so that they understand the math standards they mastered and which ones they still need to master.

## Science Assessments

### **Science Interim Assessments: Grades K-8**

**Purpose:** To understand how students are learning and retaining science instruction. To stretch students' thinking and to show teachers where knowledge breakdowns occur in student thinking.

**Rationale for Selection:** Science assessments are selected and developed by the Managing Director of Academics based on New York State Next Generation Learning Science Standards, using science content that has been taught to ensure mastery and content to be taught to gauge critical thinking. Zeta uses cumulative tests that show how well students are learning and retaining science skills and knowledge. The assessments are a mix of performance items and projects as well as written responses to questions. Students are assessed on their capacity to apply learned knowledge.

**Format & Administration:** Interim assessments vary based on the grade and unit. They include small group and individual performance opportunities or whole class written responses to questions.

**Quality Control:** Same interim assessments administered across all schools. Science teachers follow the same administration protocols and score the test using the same rubrics and scoring guides.

**Performance Expectations:** By the end of the year, 75% of students will be on grade level.

**Data Collection & Analysis:** The Student Achievement Coordinator/Manager at each school collects tests, scans, and sends results to the Managing Director of School/Principal, Academic Director, Science Curriculum Developer, and Managing Director of Academics. The Student Achievement Coordinator/Manager compiles results and creates reports that display school and class-level trends. They also show line-item analysis by students so teachers can better dissect the data.

**Reliability of Results:** These assessments test students on all skills taught over several science units. In addition to Science IAs, performance tasks such as experiments and exit tickets that check for understanding are completed 3-4 times/week, which allow for immediate, constant feedback.

**Use of Data:** Teachers use data to understand how well students are learning skills and are able to apply to performance tasks and in written work.

Data is included in progress reports for parents, and science teachers frequently call or email parents to inform them of students' progress so that parents understand whether their student mastered science standards and which ones need to be retaught. Teachers conference with students to let them know their strengths and growth areas according to the IA so that they understand the science standards they mastered and which ones they still need to master.

### **State Science Test— Science Grades 4 and 8**

**Purpose:** To understand how well students are learning and retaining New York State science standards.

**Rationale for Selection:** State requirement.

**Format & Administration:** This is a two-day test administered whole-group by all teachers in grade 4 that incorporates multiple-choice and open-ended questions for day one. In a

separate session, students complete a practical portion, during which they independently complete experiments and report their findings.

**Quality Control:** Test is administered adhering to all state-mandated protocols.

**Performance Expectations:** 75% of students achieve a Level 3 or 4.

**Data Collection & Analysis:** Results are sent to relevant SED/DOE office for processing.

**Reliability of Results:** We align instruction to state science standards.

**Use of Data:** Teachers use data to understand class mastery of science standards, which students may need extra support, and which should get enrichment tasks. Leaders use data to understand school-wide performance and class-level growth areas. Leaders and Board members use data to compare school performance with other schools around the city and state.

The SED/DOE sends home a letter to parents so that they understand whether their student mastered science standards and which ones need to be retaught. Teachers conference with students to let them know their state science scores so that they understand the science standards they mastered and which ones they still need to master.

### **(c) Instructional Methods**

#### **Zeta Charter School Instructional Methods**

Zeta Schools NYC use instructional methods that promote student achievement, best supported by the strong track record of student performance at Success Academy schools, on which the curriculum and instruction is largely based.<sup>24</sup> Similarly, Zeta intends to implement these strong pedagogical approaches to raise the achievement of Zeta's target student population, including at-risk students, students with disabilities, and English Language Learners.

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<sup>24</sup> Success Academy schools consistently rank among the top New York State public schools in student performance—matching or exceeding New York City Gifted and Talented programs. In 2018, Success Academy schools ranked in the top 1% in reading and math on the state tests, and in 2017 (the most recent year for which data is available), Success Academy schools ranked in the top 1% in science. Success Academy is the size of the state's seventh-largest school district, and in 2018, the schools had a combined reading score that topped every other district in the state. Additionally, students with disabilities and English Language Learners at Success Academy schools not only surpassed their peers statewide, but also outperformed students without disabilities and native English speakers, respectively, across New York. See New York City Department of Education ("DOE") Progress Report results, available at <http://schools.nyc.gov/Accountability/tools/report/default.htm>; New York State Report Card results, available at <https://data.nysed.gov/>; <https://www.successacademies.org/results/>.

Methods employed at Zeta schools include, but are not limited to, the following:

- **Teaching reading and writing across the curriculum:** THINK Literacy fosters the integration of reading and writing across the curriculum, requiring students to read and write both formally and informally to express their understanding in a variety of disciplines, not just in English Language Arts classrooms.
- **Use of effective assessments:** Regular and frequent use of assessment data from multiple measures are used in making instructional decisions so that proactive measures can be implemented immediately and assessed systematically. Students are not only assessed solely through high-stakes standardized testing. Assessments of student progress are holistic and frequent and include multiple measures, ranging from reflection on, and critique of, student work, fluency checks, the quality of discussion, to standardized test performance.
- **Flexible regrouping and acceleration of students for reading class according to instructional levels:** Students are informally assessed in reading, writing, and mathematics on a daily basis in order to ensure that all students are constantly growing academically and that they are being met with rigorous academic challenges. Students are formally assessed regularly and promoted to the next instructional reading level if they are ready, thus placing children according to their reading performance, not grade or age.
- **Classroom Management Framework:**
  - Teachers build relationships with their students and families
  - Teachers are role models and instill shared values of kindness, integrity, curiosity, and persistence
  - Teachers establish themselves as the authority in the classroom
  - Teachers communicate clear expectations
  - Teachers consistently recognize students who are meeting expectations and correct or redirect in a neutral voice those who are not meeting expectations
  - Teachers create purposeful routines
  - Teachers establish rules, rewards, and consequences and use them consistently
  - Teachers ensure their lessons are engaging and urgent
- **Read Alouds:** Teachers model fluent reading, develop vocabulary and comprehension skills, and expose students to high-quality literature.
- **Guided Reading:** In flexible small groups based on assessed reading levels, teachers coach students in comprehension strategies as they read and discuss a single text.
- **Independent Reading:** Students select and read “just right” books at their own independent reading level to develop comprehension skills and decoding strategies,

build fluency and stamina, and acquire content knowledge.

- **Phonics and Word Study:** Teachers build vocabulary development with a focus on spelling, phonics, and grammar to teach conventions of written and oral language.
- **Writing:** Teachers lead a mini-lesson with a clear teaching point followed by independent student writing. Teachers instruct students individually or through small-group instruction while continuously assessing their growth and development.
- **Computer-based Instruction:** Based on assessed needs, students are assigned specific skill-building and comprehension activities.
- **Health & Well-being and Mindfulness:** Students learn about and practice health and well-being throughout the day, including invigorating exercise and healthy food. Teachers use the Compass Developmental Pathways<sup>25</sup> to foster the development of mindfulness in students.
- **ZLab:** Students explore problem-solving and design in cross-curricular social studies units through mixed media and technology.

**(d) Course or Subject Overview**

**Zeta Charter School Course or Subject Overview**

In the first five years of operation, the proposed schools will serve students in Kindergarten through 5th Grade. The chart below outlines the curricular programs for each course and the planned assessments.

Please see **Response 6(a) - Curriculum and Instructional Design**, **Response 6(b) - Assessment System**, and **Response 7 – Calendar and Schedules** for additional detail regarding course descriptions, the core skills and knowledge that each course will impart on students, and course timing.

Course / Grade	K	1	2	3	4	5
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<sup>25</sup> <http://valorcollegiate.org/compass/>

<b>Literacy</b>	<ul style="list-style-type: none"> <li>• Word Study through SFA, Stepping Stones &amp; ROOTS programs</li> <li>• THINK Literacy</li> <li>• Assessments: Zeta interim assessments</li> </ul>		<ul style="list-style-type: none"> <li>• Word Study using F&amp;P, Phonics Lessons,</li> <li>• Spelling through SpellWell program</li> <li>• Vocabulary through Wordly Wise</li> <li>• Assessments: NYS ELA Test</li> </ul>			
<b>Math</b>	<ul style="list-style-type: none"> <li>• TERC Investigations</li> <li>• Contexts for Learning</li> <li>• Math Facts (Zeta program based on CCLS)</li> <li>• Cognitive Guided Instruction (CGI)</li> <li>• Assessments: Zeta interim assessments</li> </ul>		<ul style="list-style-type: none"> <li>• TERC Investigations</li> <li>• Contexts for Learning</li> <li>• Math Facts (Zeta program based on CCLS)</li> <li>• Cognitive Guided Instruction (CGI)</li> <li>• Assessments: NYS Math Test &amp; Zeta interim assessments</li> </ul>			
<b>Science</b>	<ul style="list-style-type: none"> <li>• Zeta Science curriculum – developed internally</li> <li>• Assessments: New York State Science Test in 4<sup>th</sup> grade &amp; Zeta interim assessments</li> </ul>					
<b>Z Lab</b>	Building Centers	Exploring Design	Geography	Native Populations	Pushes and Pulls	Weather
	<ul style="list-style-type: none"> <li>• Assessments: Zeta interim cross-curricular project-based learning</li> </ul>					
<b>Specialist</b>	<ul style="list-style-type: none"> <li>• Specialist activities such as Art, Music, Sports, Chess, Taekwondo; curriculum developed internally</li> <li>• Assessments: internally-developed assessments</li> </ul>					
<b>Health, Well-Being / Mindfulness</b>	<ul style="list-style-type: none"> <li>• Zeta-modified Compass curriculum</li> <li>• Assessments: Zeta rubric based on Compass framework</li> </ul>					

**(e) Promotion and Graduation Policy**

**Zeta Charter School Promotion and Graduation Policy**

Zeta schools use Fountas & Pinnell (F&P) and other benchmark assessments, outlined in **Response 6(b) – Assessment System**, to track and gauge student growth toward end-of-year goals. Year-end student promotion and retention decisions are determined based primarily on student attainment of end-of-year goals and growth throughout the year. The primary concern in all promotion or retention decisions is the best interests of the child, and decisions are made based on the unique needs and abilities of the individual child. The Managing Director of School/Principal and Academic Director make the final decision regarding student promotion or retention after careful consultation with each of the students’ classroom teachers, other leaders, the Student Achievement Associate/Manager, any special education providers, and the special education team, as applicable.

The primary factors that inform the promotion decision are the academic level of the student, the student's overall progress, the student's timely attendance, and the social-emotional maturity of the student. Academic levels and progress are determined through a review of formal and informal assessments, teacher observations, academic growth through the year, taking into account information gathered through each regular Response to Intervention (RtI) cycle. Because Zeta wants to ensure that there are no gaps in a student's learning, timely attendance is an important factor in making promotion decisions, particularly when a student's performance is below expectations. Research "consistently indicates positive and statistically significant relationships between student attendance and academic achievement for both elementary and middle school students."<sup>26</sup> The social-emotional maturity of a student is also a leading indicator of whether a student is ready for the next grade. Incremental steps toward independence and emotional maturity may be more appropriate than promotion in some cases if a student is also struggling academically. Zeta uses research-based criteria for assessing student social-emotional readiness.<sup>27</sup>

The school will keep students' parents/guardians informed of student progress toward end-of-year goals and readiness for promotion to the following grade throughout the year. In addition to periodic progress reports, beginning in or around December, teachers and faculty will reach out to parents of students at risk of retention. In or around early March, the school will send a formal letter to the parents/guardians of students then identified as being at risk of retention. The Managing Director of School/Principal and Academic Director will make the decision regarding a student's retention in or around mid-May, and the school will promptly notify the families of students to be retained; however, because each retention decision is individualized and unique, the timing and manner of communication may be altered, if necessary.

For a struggling student at risk of needing to repeat an earlier grade, the teacher, family, and school leadership team will work together to provide a greater level of support for the student. Because children grow at different rates and at unpredictable times, the Managing Director of School/Principal and the Academic Director make decisions about appropriate grade placements all year long, using input from teachers and parents/guardians as well as assessment data. Similarly, Zeta does not have a blanket approach to having a student repeat an earlier grade. These decisions are made on a case-by-case basis, taking into account the best interests of the student. Zeta does not view having a student repeat an earlier grade or promoting a student prior to the end of the year as a punishment or reward. Rather, these decisions are based on the benefits to the student.

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<sup>26</sup> Evaluating the Relationship Between Student Attendance and Achievement in Urban Elementary and Middle Schools, available here: <http://journals.sagepub.com/doi/pdf/10.3102/0002831209350494>

<sup>27</sup> Including, but not limited to Valor Compass (<http://valorcollegiate.org/compass/>), DESSA (<http://www.apertureed.com/dessa-overview/>), SEARS (<http://www4.parinc.com/Products/Product.aspx?ProductID=SEARS>), and Social Skills Improvement System Rating Scales (<http://www.pearsonclinical.com/education/products/100000322/social-skills-improvement-system-ssis-rating-scales.html>).

**(f) Programmatic Audits**

Zeta Schools NYC uses data to drive all organizational decisions. As part of our commitment to ongoing evaluation of our schools, Zeta will undertake programmatic audits on an annual basis in accordance with Education Law § 2851(2)(f). The purpose and objectives of the audit will be to review academic, fiscal, and operational performance and governance systems in place to assess whether the proposed schools are accomplishing their articulated mission and goals and are organizationally and fiscally sound. As further discussed in **Response 6(b) - Assessment System**, Zeta collects extensive data on its schools through formal and informal assessments and tracking throughout the year, and this ongoing data review will provide the basis for annual review of our programs. Information gathered for and provided in these documents will inform both classroom instruction and school-wide decision-making, including financial planning and personnel decisions.

Zeta's annual review will culminate in an Annual Report - a written report submitted to the SUNY Charter Schools Institute on or around August 1 of each year (or such other deadline as set by SUNY). The Annual Report will be prepared by the school's Managing Director of School/Principal, in coordination with Zeta CMO personnel and other school leadership. Data for the Annual Report will be drawn from data gathered throughout the year by the Student Achievement Associate/Manager. The Annual Report will include an assessment of the schools' annual performance, which may include standardized test performance, student enrollment, expenditures per child, financial statements, annual budget reports, board information and disclosures, and other relevant information. The Annual Report will also include a discussion of the progress made toward the school's achievement of its goals as found in the draft accountability plan detailed in **Response 6(g) – Accountability Plan**. The Annual Report will be submitted as a written report that will be made available to the Zeta Schools NYC Board of Trustees (the "Zeta Schools NYC Board"), to school leadership, and to Zeta CMO.

At or around the end of every academic year, Zeta Schools NYC's Managing Directors of School/Principals, together with Zeta CMO, will prepare and present school accountability data for each Zeta school to the Zeta Schools NYC Board. This data will include, but will not be limited to, each school's academic performance and school culture data, financial reports for each school, and/or any other relevant accountability data enabling the Zeta Schools NYC Board to annually assess and monitor the health of each Zeta school and to hold school leaders accountable for all-around school excellence, including high student achievement. The Zeta Schools NYC Board will have the opportunity, if it deems appropriate, to speak with leaders, teachers, other school staff, and/or family members to gather any additional information it may require. Following this review, the Zeta Schools NYC Board may make any recommendations it deems appropriate for how each school and/or its leaders' performance could be improved.

## 6. Curriculum and Instructional Design

### (g) Draft Accountability Plan

Zeta Charter School – New York City 3 and Zeta Charter School - New York City 4

#### Accountability Plan for the Accountability Period 2020 to 2025

#### ACADEMIC GOALS FOR ELEMENTARY / MIDDLE SCHOOLS

##### GOAL I: ENGLISH LANGUAGE ARTS

**Goal:** Students will demonstrate proficiency in reading, writing, comprehending, and speaking the English language.

##### **Absolute Measures**

- 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 ELA exam for grades 3-8.
- Each year, the school's aggregate Performance Level Index (PLI)<sup>1</sup> on the State ELA exam will meet that year's Annual Measurable Objective (AMO) set forth in the state's NCLB accountability system.

##### **Comparative Measures**

- Each year, the percent of all tested students who are enrolled in at least their second year and performing at proficiency on the state ELA 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**

- 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.

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

## **GOAL II: MATHEMATICS**

**Goal:** Students will show competency in their understanding and application of mathematical computation and problem solving.

### **Absolute Measures**

- 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)<sup>2</sup> 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**

- 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**

- 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:** Students will understand and apply scientific principles at a proficient level.

### **Absolute Measure**

- 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 Measure**

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

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

## **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.

## 7. Calendar and Schedules

### (a) School Calendar

Each of the proposed schools will have approximately 180 annual instructional days running from August to June, organized on a quarterly system. One day a week will be a half day for students, with professional learning for school staff in the afternoon. After-school specialist programming, small-group instruction, and/or tutoring will be offered approximately four days per week.

**Days of School:** As set forth in the proposed school year calendar below, in their first year of instruction, the proposed schools will have:

- Approximately 180 total school days, with:
  - Approximately 138 total full school days
  - Approximately 42 total half school days
- In addition, the schools will hold a half-day Meet Your Teacher Orientation event approximately one week before school starts to introduce students and families to the schools and faculty.

**School Day Instruction:** The proposed schools will have:

- Approximately 27 total hours of instruction/week (not including after-school programming, meals, and recess)
- Approximately 1,050 total hours of instruction/year (not including after-school programming, meals, and recess)

**After-School Small-Group Instruction or Individual Tutoring:** The proposed schools will offer opportunities for small-group instruction or individual tutoring after school, including mandatory sessions for some students who require additional support to master the material. The schools will offer approximately 45 total minutes of after-school tutoring on Monday, Tuesday, Thursday, and Friday (approximately 3 total hours of after-school tutoring per week).

**After-School Specialist Instruction:** To provide students with additional opportunities to engage in specialist programming, including Z Lab, the proposed schools plans to offer after-school specialist programming, with approximately 45 total minutes of after-school specialist instruction on Monday, Tuesday, Thursday, and Friday (approximately 3 total hours of after-school specialist programming per week).

**Professional Learning for Leaders, Teachers, and Operations Staff:** As further described in **Response 9(c) - Professional Development**, Zeta Schools NYC is deeply committed to ensuring that its faculty receives significant opportunities for professional learning, which improves their practice and promotes student achievement. The school year will contain approximately:

- Approximately 27 professional learning days for all staff (teachers, leaders, and operations staff), with approximately:
  - 18 full days of Zeta Summer University before school begins
  - 9 full days of professional learning during the school year
- Approximately 15 additional days of professional learning for leaders and operations staff, with approximately:
  - 12 full days of Zeta Summer University before school begins
  - 3 full days of professional learning during the school year
- Approximately three hours every Wednesday afternoon (approximately 111 hours per year) of professional learning for faculty
- Prep and planning time every day

A proposed calendar for the 2020-21 school year is provided below.

# Zeta Charter Schools: Proposed 2020-21 Academic Calendar

July 2020						
Su	Mo	Tu	We	Th	Fr	Sa
			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	

August 2020						
Su	Mo	Tu	We	Th	Fr	Sa
						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					

September 2020						
Su	Mo	Tu	We	Th	Fr	Sa
		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			

October 2020						
Su	Mo	Tu	We	Th	Fr	Sa
				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

November 2020						
Su	Mo	Tu	We	Th	Fr	Sa
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					

December 2020						
Su	Mo	Tu	We	Th	Fr	Sa
		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		

January 2021						
Su	Mo	Tu	We	Th	Fr	Sa
					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						

February 2021						
Su	Mo	Tu	We	Th	Fr	Sa
	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						

March 2021						
Su	Mo	Tu	We	Th	Fr	Sa
	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 2021						
Su	Mo	Tu	We	Th	Fr	Sa
				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	

May 2021						
Su	Mo	Tu	We	Th	Fr	Sa
						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 2021						
Su	Mo	Tu	We	Th	Fr	Sa
		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			

Vacation / Holiday
  Full School Day
  Half School Day
  Leader PD Day
  Leader/Teacher PD Day

## Zeta Charter Schools: Proposed 2020-21 Academic Calendar

Date(s)	Event	Audience
July 13 - July 28, 2020	Zeta Summer University: Leaders*	Leaders & Ops Staff
July 29 - August 21, 2020	Zeta Summer University: Teachers*	Leaders, Ops, Teachers
August 17, 2020	Orientation and Meet Your Teacher Event	All
August 24, 2020	First Day of School	All
August 24-28, 2020	Half-Day Dismissal for All Students	All
August 31, 2020	First Full Day of School: All Students	All
September 7, 2020	Zeta Closure: Labor Day*	All
October 12, 2020	Zeta Closure: Columbus Day*	All
October 13, 2020	Leader/Teacher Professional Learning*	Leaders, Ops, Teachers
November 11, 2020	Veterans Day / Leader Professional Learning*	Leaders
November 23-24, 2020	Leader/Teacher Professional Learning*	Leaders, Ops, Teachers
November 25-27, 2020	Zeta Closure: Thanksgiving Break*	All
December 23, 2020 - January 1, 2021	Zeta Closure: Winter Holiday Break*	All
January 4, 2021	Leader/Teacher Professional Learning*	Leaders, Ops, Teachers
January 18, 2021	Zeta Closure: Martin Luther King, Jr. Day*	All
January 19, 2021	Leader/Teacher Professional Learning*	Leaders, Ops, Teachers
February 15, 2021	Zeta Closure: President's Day*	All
February 16, 2021	Leader/Teacher Professional Learning*	Leaders, Ops, Teachers
April 1, 2021	Leader/Teacher Professional Learning*	Leaders, Ops, Teachers
April 2, 2021	Leader Professional Learning*	Leaders
April 5-9, 2021	Zeta Closure: Spring Break*	All
May 31, 2021	Zeta Closure: Memorial Day*	All
June 15, 2021	Last Day of School: Half-Day Dismissal	All
June 16-17, 2021	ALL STAFF: Pack-Up*	Leaders, Ops, Teachers

\* Students not in attendance

**(b) Sample Student Schedule**

Zeta operates schools with extended days in order to provide students with additional instructional time and allow for our robust academic and specialist programming. The school day will begin each morning at approximately 7:45 a.m. and will end at approximately 3:45 p.m. four days per week. One day per week, school will end at 12:30 p.m. to accommodate weekly afternoon teacher and leader professional learning. Approximately four days a week, Zeta schools plan to offer after-school programming, tutoring, and/or small-group instruction until 4:30 p.m., as further described below.

A typical DOE school day is 6.5 hours (5 hours for academic subjects, in addition to time for lunch, recess, etc.); using the Zeta school model, and considering the school calendar and schedule referenced above, the average Zeta school day is approximately 8 hours. This additional time will give students the opportunity to engage in a rich and rigorous academic curriculum that will include a selection of specialist programming in the arts and sports, cross-curricular Z Lab programming, social-emotional programming, and discovery-oriented science five days per week. This is a critical part of Zeta’s strategy to provide a top-notch education and prevent achievement gaps. Children need to be highly engaged in school in order to become great writers, thinkers, and scholars. Because THINK Literacy and the TERC-Investigations curriculum is both rigorous and engaging, Zeta schools will prepare children to be strong in writing, reading, and critical thinking, remediating with a more scaffolded approach when necessary.

A breakdown of the approximate number of minutes of instruction in each subject area is below:

<b>Minutes of Instruction Per Week</b>		
<b>Subject Area</b>	<b>Kindergarten</b>	<b>1st Grade</b>
ELA	590	670
Math	475	475
Science	185	185
Specialist	200	200
Compass	90	90
Z Lab	65	65
<b>Total</b>	<b>1605</b>	<b>1685</b>
	<b>27 hours</b>	<b>28 hours</b>

In addition to the core school day, Zeta schools plan to offer after-school programming approximately four days per week until 4:30 p.m. After-school programming will give students additional access to our specialist programs, while also offering much-needed coverage for families. For students struggling to master the material, this programming will include mandatory small-group instruction or individual tutoring to provide extra support and ensure that

all children are able to meet grade-level standards. Specialist programming will be offered, such as Z Lab, Taekwondo, science, music, art, and/or chess. The schools expect a large percentage of students will take advantage of the after-school programming available to them, which will deepen the instruction they receive during the school day.

Sample weekly student schedules for the first year of operation are below.

Daily Student Schedule: Monday, Tuesday, Thursday, Friday									
	K.1	K.2	K.3	1.1	1.2	1.3			
7:20-7:40	Breakfast in Classrooms/ Arrival/Unpack— 20 min								
7:40-7:45	Transition/Unpack								
7:45-8:00	Morning Work/Morning Meeting - 15 min								
8:00-8:20	SFA Roots - 30 min			Math Routines - 20 min					
8:20-8:25				Transition					
8:25-8:30				SFA - 45 min					
8:30-8:35	Guided Reading - 35 min								
8:35-9:10									
9:10-9:15							Guided Reading - 45 min		
9:15-9:55	Math (Workshop) - 40 min	Science - 40 min							
9:55-10:00	Transition			Transition					
10:00-10:05	Specialist Block - 40 min			Snack - 10min					
10:05-10:10							Science - 40 min	Specialist Block - 40 min	
10:10-10:40				Reading (Read Aloud + Close Reading) - 25 min					
10:40-10:45	Transition			Writing - 30 min					
10:45-11:10	Specialist Block - 40 min	Specialist Block - 40 min	Specialist Block - 40 min						
11:10-11:25	Transition			Math (Word Problems) - 40 min					
11:25-11:30							Transition		
11:30-11:35									
11:35-11:50	Lunch - 20 min								

11:50-11:55			Transition							
11:55-12:00	Transition		Lunch—20 min							
12:00-12:10	Recess - 20 min					Lunch—20 min				
12:10-12:15									Transition	
12:15-12:20									Transition	
12:20-12:30	Transition		Recess - 20 min							
12:30-12:45	Math (Word Problems) - 40 min		Lunch - 20min							
12:40-12:45			Transition							
12:45-1:05			Recess - 20min							
1:05-1:10			Transition							
1:10-1:25	Math Routines - 20 min		Science - 40min							
1:15-1:25			Specialist Block - 40 min							
1:25-1:30			Specialist Block - 40 min							
1:30-1:35			Transition							
1:30-1:35	Snack - 15 min		Math (Workshop)— 40 min							
1:35-1:45	Snack -10 mins									
1:45-1:50	Transition									
1:50-2:10	Transition									
1:50-2:10	Science - 40 min		Math (Workshop) - 40min							
2:10-2:15	Specialist Block - 40 min		Transition							
2:15-2:30	Math (Workshop) - 40min		Specialist Block - 40 min							
2:30-2:35	Transition		Specialist Block - 40 min							
2:35-2:45	Writing - 25 min		Specialist Block - 40 min							
2:45-2:50			Transition							
2:50-3:00			Specialist Block - 40 min							
2:50-3:00			Math (Word Problems) - 40 min							
3:00-3:25	Reading (Read Aloud + Close Reading) - 25 min		Science - 40 min							

3:25-3:30	Snack & Pack-Up - 10 min			
3:30-3:35		Transition		
3:35-3:45	Transition	Snack & Pack Up- 10 min		
3:45-4:30	After-School Programming - 45 min			

Specialist Block Schedule						
Monday	Compass	Sports	Literacy Block	Sports	Sports	Art
	Art	Art	Chess	Chess	Chess	Compass
Tuesday	ZLab	Compass	Sports	Compass	Taekwondo	Music
	Taekwondo	Taekwondo	Music	Music	ZLab	Literacy Block
Thursday	Sports	Z Lab	Compass	ZLab	Art	Chess
	Chess	Chess	Art	Art	Literacy Block	Sports
Friday	Literacy Block	Music	ZLab	Literacy Block	Music	Taekwondo
	Music	Literacy Block	Taekwondo	Taekwondo	Compass	ZLab

Daily Student Schedule: Wednesday						
	K.1	K.2	K.3	1.1	1.2	1.3
7:20-7:40	Breakfast in Classrooms/ Arrival/Unpack - 20 min					
7:40-7:45	Transition/Unpack - 5 min					
7:45-8:00	Morning Work (Math) - 15 min					
8:00-8:05	Transition					
8:05-8:25	Spiral Review (Math) - 20 min					
8:25-8:30	Transition					
8:30-8:55	Counting Jar- 40 min				Science - 25 min	Z Lab - 25 min
8:55-9:00					Transition	
9:00-9:10					Z Lab - 25 min	Science - 25 min
9:10-9:25	Snack - 15 min					
9:25-9:30	Transition					
9:30-9:55	Guided Reading - 35 min					
9:55-10:05						

10:05-10:10	Transition					
10:10-10:25	Literacy Block - 15 min					
10:25-10:30	Transition					
10:30-10:55	Science - 25 min	Z Lab - 25 min	Compass Badge Work - 25 min		Compass Badge Work— 25 min	
10:55-11:00	Transition					
11:00-11:25	Circle - 25 min	Circle - 25 min	Science - 25 min	Z Lab - 25 min	Counting Jar-40 min	
11:25-11:30	Transition					
11:30-11:40	Z Lab - 25 min	Science - 25 min	Circle - 25 min	Circle - 25 min		
11:40-11:55			Snack -15 min			
11:55-12:20	Compass Badge Work - 25 min		Z Lab - 25 min	Science - 25 min	Circle - 25 min	Circle - 25 min
12:20-12:30	Pack Up & Dismissal					

**(c) Sample Teacher Schedule**

The teacher schedule mirrors the student schedule. All teachers collaborate to ensure instruction is tailored to meet the needs of all children. Wednesdays during the school day are dedicated to targeted instruction in small groups and cross-curricular Z Lab projects, and following a half-day dismissal, the afternoon is dedicated to teacher and leader professional development. Teachers have prep time every day and planning sessions during the week. Faculty and staff members have lunch, snack, and recess duty, as well as breakfast duty throughout the week, in addition to a rotating responsibility for small-group tutoring and/or specialist programming after school. We may supplement our after-school specialist program with outside providers when necessary.

Sample schedules for a homeroom teacher, a specialist teacher, and a science teacher for the schools' first year of operations are below.

Sample Homeroom Teacher Schedule					
	Monday	Tuesday	Wednesday	Thursday	Friday
7:20-7:40	Breakfast	Breakfast	Breakfast	Breakfast	Breakfast
7:40-7:45	Arrival/Unpack	Arrival/Unpack	Arrival/Unpack	Arrival/Unpack	Arrival/Unpack
7:45-8:00	Morning Work/Morning Meeting - 15 min	Morning Work/Morning Meeting - 15 min	Morning Work (Math) - 15 min	Morning Work/Morning Meeting - 15 min	Morning Work/Morning Meeting - 15 min
8:00-8:05			Transition		
8:05-8:20	SFA Roots - 30 min	SFA Roots - 30 min	Spiral Review (Math) - 20 min	SFA Roots - 30 min	SFA Roots - 30 min
8:20-8:25				SFA Roots - 30 min	SFA Roots - 30 min

8:25-8:30			Transition		
8:30-8:35	Guided Reading - 35 min	Guided Reading - 35 min	Counting Jar- 40 min	Guided Reading - 35 min	Guided Reading - 35 min
8:35-9:10					
9:10-9:15			Snack - 15 min		
9:15-9:25	Math (Workshop) - 40 min	Math (Workshop) - 40 min		Math (Workshop) - 40 min	Math (Workshop) - 40 min
9:25-9:30			Transition		
9:30-9:55					
9:55-10:00	Transition	Transition	Guided Reading - 35 min	Transition	Transition
10:00-10:05	Compass - 40 min	Z Lab - 40 min	Transition	Prep - 40 min	Literacy Block - 40 min
10:05-10:10					
10:10-10:25			Literacy Block - 15 min		
10:25-10:30					
10:30-10:40					
10:40-10:45	Transition	Transition	Prep - 30 min	Transition	Transition
10:45-10:55	Common Planning Time - 40 min	Common Planning Time - 40 min		Common Planning Time - 40 min	Common Planning Time - 40 min
10:55-11:00					
11:00-11:10					
11:10-11:25			Circle - 25 min		
11:25-11:30	Transition	Transition	Transition	Transition	Transition
11:30-11:35			Z Lab - 25 min		
11:35-11:50	Lunch Duty - 20	Lunch Duty - 20		Lunch Duty - 20	Lunch Duty - 20

11:50-11:55	min	min		min	min
11:55-12:00	Transition	Transition	Compass Badge Work - 25 min	Transition	Transition
12:00-12:10	Recess Duty - 20 min	Recess Duty - 20 min		Recess Duty - 20 min	Recess Duty - 20 min
12:10-12:15					
12:15-12:20					
12:20-12:30	Transition	Transition	Pack Up & Dismissal	Transition	Transition
12:30-1:10	Math (Word Problems) - 40 min	Math (Word Problems) - 40 min	Lunch / Prep - 60 min	Math (Word Problems) - 40 min	Math (Word Problems) - 40 min
1:10-1:30	Math Routines - 20 min	Math Routines - 20 min		Math Routines - 20 min	Math Routines - 20 min
1:30-1:45	Snack - 15 min	Snack - 15 min	Professional Learning - 360 min	Snack - 15 min	Snack - 15 min
1:45-1:50	Transition	Transition		Transition	Transition
1:50-2:30	Prep - 40 min	Prep - 40 min		Prep - 40 min	Prep - 40 min
2:30-2:35	Transition	Transition		Transition	Transition
2:35-3:00	Writing - 25 min	Writing - 25 min		Writing - 25 min	Writing - 25 min
3:00-3:25	Reading (Read Aloud + Close Reading) - 25 min	Reading (Read Aloud + Close Reading) - 25 min		Reading (Read Aloud + Close Reading) - 25 min	Reading (Read Aloud + Close Reading) - 25 min
3:25-3:35	Snack & Pack-Up - 10 min	Snack & Pack-Up - 10 min		Snack & Pack-Up - 10 min	Snack & Pack-Up - 10 min
3:35-3:45	Transition			Transition	
3:45-4:30	After-School Tutoring - 45 min			After-School Tutoring - 45 min	

**Sample Specialist Teacher Schedule (Art)**

	Monday	Tuesday	Wednesday	Thursday	Friday
8:00-8:30	Prep - 75 min	Prep - 75 min	Prep - 60 min	Prep - 75 min	Prep - 75 min
8:30-9:00			Z Lab - 30 min		
9:00-9:15			Prep - 30 min		
9:15-9:30	Recess/Snack Support - 40 min	Recess/Snack Support - 40 min		Recess/Snack Support - 40 min	Recess/Snack Support - 40 min
9:30-9:55			Z Lab - 30 min		
9:55-10:00	Transition	Transition		Transition	Transition
10:00-10:30	Specialist Block - 40 min	Specialist Block - 40 min	Lehman Circle - 30 min	Specialist Block - 40 min	Specialist Block - 40 min
10:30-10:40					
10:40-10:50	Transition	Transition	Weekly Specialist Meeting - 60 min	Snack Support - 50 min	Snack Support - 50 min
10:50-11:00	Specialist Block - 40 min	Specialist Block - 40 min			
11:00-11:30				Prep - 35 min	Prep - 35 min
11:30-11:35	Prep - 30 min	Prep - 30 min	ZLab - 30 min	Writing Support - 40 min	Writing Support - 40 min
11:35-12:00					
12:00-12:15	Specialist Block - 40 min	Specialist Block - 40 min	Compass Badge Work - 25 min	Transition	Transition
12:15-12:20					
12:20-12:25					
12:25-12:30			Recess Duty - 40 min	Lunch Prep Duty - 40 min	
12:30-12:40					
12:40-12:45	Transition	Transition	Lunch / Prep - 60 min	Transition	Transition
12:45-1:30	Lunch Duty - 55 min	Lunch Duty - 55 min	Professional Learning - 360 min	Lunch Duty - 55 min	Lunch Duty - 55 min
1:30-1:40					
1:40-1:45	Transition	Transition		Z Lab - 35 min	Z Lab - 35 min
1:45-2:15	Specialist Block - 40 min	Specialist Block - 40 min		Transition	Transition
2:15-2:20					
2:20-2:25			Prep - 25 min	Prep - 25 min	

2:25-2:45	Prep - 20 min	Prep - 20 min			
2:45-2:50					
2:50-2:55	Snack/Pack-Up Support - 15 min	Snack/Pack-Up Support - 15 min		Snack/Pack-Up Support - 15 min	Snack/Pack-Up Support - 15 min
2:55-3:00					
3:00-3:05				Transition	Transition
3:05-3:45	Writing and Pack-Up - 45 min	Writing and Pack-Up - 45 min		Specialist Block - 40 min	Specialist Block - 40 min
3:45-4:30	After-School Programming - 45 min	After-School Programming - 45 min		After-School Programming - 45 min	After-School Programming - 45 min

Sample Science Teacher Schedule					
	Monday	Tuesday	Wednesday	Thursday	Friday
7:45-8:30	Prep - 90 min	Prep - 90 min	Prep - 45 min	Prep - 90 min	Prep - 90 min
8:30-8:55			Science - 25 min		
8:55-9:00			Transition		
9:00-9:15			Science - 25 min		
9:15-9:25	Science - 40 min	Science - 40 min		Science - 40 min	Science - 40 min
9:25-9:55			Prep - 60 min		
9:55-10:00	Transition	Transition		Transition	Transition
10:00-10:25					
10:25-10:30	Science - 40 min	Science - 40 min	Transition	Science - 40 min	Science - 40 min
10:30-10:40					
10:40-10:45	Transition	Transition	Science - 25 min	Transition	Transition
10:45-10:55					
10:55-11:00	Science - 40 min	Science - 40 min	Transition	Science - 40 min	Science - 40 min
11:00-11:25			Science - 25 min		
11:25-11:30	Lunch/Recess	Lunch/Recess	Transition	Lunch/Recess	Lunch/Recess

11:30-11:55	Duty - 80 min	Duty - 80 min	Science - 25 min	Duty - 80 min	Duty - 80 min
11:55-12:20			Science - 25 min		
12:20-12:45			Support with Pack Up / Dismissal - 25 min		
12:45-1:25	Science - 40 min	Science - 40 min	Lunch / Prep - 40 min	Science - 40 min	Science - 40 min
1:25-1:50	Snack Support - 25 min	Snack Support - 25 min	Science Professional Learning - 360 min	Snack Support - 25 min	Snack Support - 25 min
1:50-2:30	Science - 40 min	Science - 40 min		Science - 40 min	Science - 40 min
2:30-2:50	Prep - 20 min	Prep - 20 min		Prep - 20 min	Prep - 20 min
2:50-3:30	Science - 40 min	Science - 40 min		Science - 40 min	Science - 40 min
3:30-3:45	Support with Pack Up / Dismissal - 15 min	Support with Pack Up / Dismissal - 15 min		Support with Pack Up / Dismissal - 15 min	Support with Pack Up / Dismissal - 15 min
3:45-4:30	After-School Programming - 45 min	After-School Programming - 45 min		After-School Programming - 45 min	After-School Programming - 45 min

## 8. Specific Populations

It is specifically Zeta Schools NYC's mission to mine the full potential of all of its students, whether students are struggling, have special needs, are ELLs, or are advanced. Zeta Schools NYC's educational approach, by design, will meet the needs of children at all levels. Its key design elements, as further described in **Response 2(b) - Key Design Elements**, are geared to accomplish this. As described in greater detail below, Zeta Schools NYC will specifically implement curricular components in its general education curriculum that are designed to meet students at their individual academic levels, particularly struggling students, and that have demonstrably fostered academic excellence amongst a variety of learners in other high-performing school settings. Additionally, Zeta Schools NYC will explore and implement technology as a teaching and learning tool that will enable its schools to diversify their approach across a wide range of abilities and learning styles, opening pathways for children to encounter and master material in a more individualized and relevant way.

As also described in greater detail below, students who continue to struggle with the general education curriculum or display special or unique needs will go through the proposed schools' Response to Intervention ("Rtl") process. The Rtl process will ensure that every child requiring more intensive supports receives such supports and individualized attention to ensure he or she achieves to his or her highest potential. Through this process, no student will fall through the cracks, aligning with Zeta's mission to mine the full potential of all students.

### (a) Struggling Students

As described in **Response 1 - Community Need and Proposed School Impact**, the proposed schools will be located in CSDs 9 and 12, where there is great need and high demand for more high-quality public school options. In light of the high demand, the proposed schools anticipate that they will be enrolling children who may struggle academically and would be considered at risk of academic failure.

### Supports and Interventions for Struggling Students

For at-risk students attending its schools, the Zeta curriculum, coupled with thoughtful programming that, consistent with principles of Universal Design for Learning ("UDL"), incorporates a variety of instructional styles to cater to a diversity of learners and allows for targeted instruction. This approach is designed to serve a wide variety of academic performance levels. For example, Zeta Schools NYC utilizes the THINK Literacy curriculum, which is designed to meet students at their individual reading and writing levels in a rigorous way. Additionally, Zeta Schools NYC employs Success for All ("SFA"), a research-based program that incorporates cooperative learning, regular performance monitoring, individualized tutoring, and support for families to engage them in the learning process. SFA was originally developed for the prevention of early academic deficits for students in kindergarten through third grade.<sup>1</sup> Extensive research of the SFA curriculum has found it to be beneficial for all learners, including the lowest-

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<sup>1</sup> Snow, Catherine E., M. Susan Burns, and Peg Griffin, eds., "Preventing Reading Difficulties in Young Children" Committee on the Prevention of Reading Difficulties in Young Children" available at <http://files.eric.ed.gov/fulltext/ED416465.pdf>.

performing students.<sup>2</sup> Zeta schools will additionally utilize technology that allows for individualized instruction as a part of its school-wide curriculum. Further, in accordance with the basic tenets of UDL, instruction will be provided in multiple formats, and students will be allowed to interact and engage with instructional materials in a variety of ways. Zeta Schools NYC's approach to supporting this population accordingly has significant potential to accelerate the achievement of at-risk students.

Additional services and programming will be layered into instruction for any students who demonstrate a need for more intensive support, including at-risk students, students with disabilities, and ELLs (further information about supports for the latter two populations are described in **Response 8(b) - Students with Disabilities** and **Response 8(c) - English Language Learners** below). Academic benchmarks will remain rigorous, and students who require additional programming or services beyond the general education curriculum will be supported so as to foster their success in meeting Zeta's expectations that they achieve academic proficiency across all subjects. While a determination as to the needs of each student will be individualized, a general overview of the supports Zeta will provide as a part of a coherent academic program is as follows:

- **All Students:** General education curriculum, which includes:
  - Class-wide general education instruction
  - Small-group instruction during designated academic components, groupings based on performance (e.g., SFA)
  - Universal Design for Learning, whereby instruction will be provided in multiple formats, and students will be allowed to interact and engage with instructional materials in a variety of ways
  - School-wide positive behavior management
  - School-wide programming to foster mindfulness and wellness
  
- **Struggling Students:** General education curriculum plus the following as needed:
  - Small-group instruction, with groupings based on performance during multiple academic components
  - Individual tutoring for remediation
  - Action plans for positive behavior support
  - Cross-teacher collaboration
  - Guidance and support for parents to implement home-based interventions

Professional development will be provided to general and special education teachers to ensure proper implementation of interventions and will address in-class differentiation, use of individualized tools such as graphic organizers, guided reading support, and individual student differentiation plans. Additionally, teachers will receive extensive early training on how to quickly identify children who are struggling with the material and are at risk of not meeting grade-level standards.

### **Assessment and Identification of Struggling Students**

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<sup>2</sup> *Id.*

Students will be considered “struggling” if they exhibit a pattern of below-grade-level academic performance or demonstrate social-emotional needs beyond what is considered developmentally appropriate. The proposed schools will have regular math and reading/writing assessment cycles approximately every eight weeks that will enable teachers and leaders to understand where students are in relation to Zeta’s ambitious grade-level standards. Following the first annual round of formal academic assessments and throughout the year, all students will receive small-group instruction, with students grouped by reading ability level. Grouping students by reading ability level enables them to receive more individualized and targeted instruction by their teachers and to be challenged, through cooperative learning and common goals, by their peers who are learning the same skills. Regrouping will occur in accordance with assessment cycles to ensure students are appropriately challenged. Such regrouping acknowledges student growth and allows teachers to tailor instruction to meet specific student needs. Students who continue to struggle with the material and meeting Zeta’s grade-level standards after initial interventions despite additional instruction will go through the proposed schools’ Rtl process.

### **Supports through Response to Intervention Program**

Zeta will implement an Rtl program - a framework to ensure early identification without overidentification of students with special education needs. As part of Zeta’s Rtl program, academic data will be reviewed each assessment cycle, along with anecdotal and other relevant information provided by staff, to determine which students may need additional supports. The Rtl process is overseen by the Academic Director. Student data is tracked closely by a school-based coordinator (the Student Achievement Associate/Manager) and reviewed regularly with the Managing Director of School/Principal and Academic Director and other members of the school leadership team to ensure the appropriate identification of struggling students, as well as the provision of appropriate supports and consistent monitoring of student progress. The school will hold regular Rtl meetings aligned with the assessment cycles, during which faculty and leaders meet to analyze school-wide grade, class, and individual student data prepared by the Student Achievement Associate/Manager, and create targeted intervention plans, which may include the strategies for struggling students identified above, designed to most effectively address student needs.

Through the Rtl process, the Rtl team will develop group and individual student intervention plans for struggling students or students needing remedial instruction that, along with students’ Individualized Education Programs (“IEPs”), if appropriate, will ensure that students are on track to achieve at or above grade-level standards. Interventions will be introduced at increasing rates of intensity, and will be assigned based on individual student needs. The school’s Student Achievement Associate/Manager will monitor student performance after interventions have been introduced, and the Academic Director will ensure that intervention plans are consistently implemented and are effective. If a student continues to struggle academically after receiving properly implemented, targeted interventions through the Rtl process, the school will initiate the referral process through the Committee on Special Education (“CSE”) to determine if special education services are required to provide the student with appropriate additional supports.

Zeta schools will further incorporate an intensive intervention program to serve

struggling students in need of social-emotional support. Mindfulness is an essential component of Zeta’s school design, including through implementation of the Compass social-emotional learning program, which is further described in **Response 6(a) - Curriculum Selection Process**. The schools will promote mindfulness among all students to foster kindness, teach self-regulation, and establish a respectful school community. For students who struggle to abide by the schools’ social-emotional and behavioral expectations, action plans using positive behavioral supports that are tailored to students’ individual needs will be developed through the Rtl process. The consistency of implementation and success of interventions will be tracked throughout the Rtl cycle. Professional development will address best practices for implementing individualized behavior plans and offer related tools for supporting students with social-emotional challenges, including those that manifest behaviorally.

An article published in 2007 by the Council for Exceptional Children supports the introduction of social-emotional support through an Rtl framework.<sup>3</sup> The research outcomes indicate that a model with solid general classroom behavior and instructional management that offers more intensive, targeted interventions for students who require additional support (tier 1), and, if necessary, greater support in the form of function-based individualized behavior plans (tier 2), led to reductions in problem behavior and reduced disciplinary referrals.<sup>4</sup>

Through this systematic approach to comprehensively identifying, assessing, and supporting struggling students, Zeta Schools NYC will be able to ensure that no children fall through the cracks, including those most at risk of academic failure. The schools will evaluate the efficacy of their efforts to support their most struggling students every assessment cycle through constant monitoring of student progress and growth. The Student Achievement Associate/Manager will gather student data at the conclusion of each formal assessment cycle, and review the results with the Academic Director and other members of the school’s leadership team. Data will include measures of performance and growth of all students receiving support as a part of the Rtl process, including students who have IEPs. The success of this program will be measured based on whether at-risk and struggling students are on track to meeting Zeta’s grade-level standards, and the academic leadership team will adjust and refine these processes as needed to ensure that the program is meeting the needs of struggling students.

#### **(b) Students with Disabilities**

Zeta Schools NYC is committed to meeting the needs of special education students attending its schools and ensuring that they, like their non-special-needs peers, become lifelong learners and productive world citizens. The proposed schools will have special education teams ready to identify and meet the needs of special education students from the first day of school. The proposed schools will use the Rtl process described above in **Response 8(a) - Struggling Students**.

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<sup>3</sup> Fairbanks, Sarah, George Sugai, David Guardino, and Margaret Lathrop, “Response to Intervention: Examining Classroom Behavior Support in Second Grade,” *Exceptional Children*, available at [https://dropoutprevention.org/wp-content/uploads/2015/05/Fairbanks\\_Sugai\\_Guardino\\_Lathrop\\_Article\\_Spring\\_2007.pdf](https://dropoutprevention.org/wp-content/uploads/2015/05/Fairbanks_Sugai_Guardino_Lathrop_Article_Spring_2007.pdf).

<sup>4</sup> *Id.*

The proposed schools will educate students with disabilities in the least restrictive environment with their non-disabled peers to the extent appropriate and allowed by each student's IEP prepared by the CSE and all applicable federal laws, including the Individuals with Disabilities Education Act ("IDEA"), Section 504 of the Rehabilitation Act of 1973, and Title II of the Americans with Disabilities Act. The schools governed by Zeta Schools NYC will not discriminate in admission and enrollment practices on the basis of a student having or suspected of having a disability.

The proposed schools agree to abide by all of the assurances found in Appendix B of the 2019 SUNY Request for Proposals, entitled, "Assurances Regarding the Provision of Special Education Services."

### **Supports and Interventions for Students with Disabilities**

Students with disabilities at the proposed schools will have access to all of the general education elements and supports for struggling students described above. In addition to the supports described above, the proposed schools may use any of the following additional interventions for students who are identified as having disabilities (with all supports individualized to each student):

- **Students with Disabilities:** General education curriculum plus the following as needed:
  - Programming in accordance with IEP mandates (including Special Education Teacher Support Services (SETSS) and Integrated Co-Teaching (ICT) classrooms)
  - Related services in accordance with IEP mandates (including speech therapy, occupational therapy, physical therapy, counseling, paraprofessionals, assistive technology devices, etc.)
  - Functional Behavior Assessments (FBAs) and Behavior Intervention Plans (BIPs)
  - Tutoring for remediation
  - Cross-teacher collaboration
  - Guidance and support for parents to implement home-based interventions

### **Assessment and Identification of Students with Disabilities**

As described above, Zeta schools use frequent assessment cycles to analyze student performance and identify students who may benefit from additional supports. The proposed schools will use these assessment cycles, faculty observations, and the RtI program, described above, to identify students who may require additional services through an IEP. If a student continues to struggle academically after receiving properly implemented, targeted interventions through the RtI process, the school will initiate the referral process through the CSE to determine if special education services are required to provide the student with appropriate additional supports. If a student demonstrates significant need, the school will refer the student to the CSE immediately without waiting for an additional assessment or RtI cycle, and the school will implement appropriate supports while the referral is pending.

### **Implementation of Special Education Services**

Special education programs and services will be provided in accordance with applicable laws and regulations and in accordance with the student's IEP. The school will retain appropriately qualified special education staff members who may include, but are not limited to, a special education teacher, a speech pathologist, an occupational therapist, and/or a mental health provider. The proposed schools will also be supported by special education personnel at Zeta CMO. These personnel will be able to guide and assist the school in navigating the referral process and facilitating the implementation of each students' IEP. In addition, these personnel will work closely with the CSE to ensure appropriate and supportive special education services are in place for students with IEPs.

Special education staff at each school will ensure that classroom teachers, including general education teachers, are knowledgeable about the needs of students with disabilities, are informed of their responsibilities for particular students, receive the support they may require to implement a student's IEP, and implement any necessary modifications or accommodations in their classes. School staff, including special education personnel, will meet regularly to collaborate on special education student progress. Special education personnel will coordinate their services with the relevant general education teachers through meetings, school-wide Rtl, and data review professional development sessions, and through informal communication. Leaders will meet with special and general education personnel in advance of the school year to review IEPs and behavioral intervention plans ("BIPs") of returning and newly enrolled students to ensure that all are familiar with incoming and ongoing student needs and that needed services and supports are in place from the start of the school year. In addition, relevant school staff, including general education teachers and special education staff, will receive professional development throughout the school year addressing differentiation, the implementation of Rtl interventions, implementation of BIPs, how to collaborate to ensure student success and to review specific special education supports for students with IEPs, and how to evaluate the progress of special education students. Professional development will be designed to support consistent and high-quality provision of special education services and interventions.

Zeta Schools NYC students with IEPs will receive the services mandated in their IEPs, which may include, but are not limited to:

- Speech language pathology,
- Psychological services,
- Occupational or physical therapy,
- SETSS,
- Hearing services,
- Vision services,
- Assistive technology,
- Diagnostic and/or evaluative services,
- Paraprofessionals,
- Counseling, and
- Special education classroom services, such as ICT.

The proposed schools anticipate that they may enroll students requiring the above-listed services and will be prepared to offer such services in close coordination with the CSE. If a student with an IEP is unable to receive the services on his/her IEP to the extent

necessary, the school district of the student's residence or other appropriate school district may be requested to provide services, such as by assigning a paraprofessional or speech therapist to provide services to the child at the school. If necessary and feasible, the school may also contract with appropriately certified or licensed individuals to provide the required services. Zeta Schools NYC may also utilize specialist consultants and training programs, as needed, for guidance, professional development, and ongoing support in working with students who present with unique academic, social-emotional, and/or behavioral needs.

If special education professionals at the proposed schools determine that a child's IEP may no longer be appropriate to meet the child's needs and may not maximize the child's ability to receive a free and appropriate public education in the least restrictive environment, they may recommend that the CSE conduct a re-evaluation of the IEP.

Zeta Schools NYC anticipates highly successful results for students with disabilities by implementing the above-described programming and services. A 2012 white paper from Stand for Children Leadership Center entitled "Educating Students with Disabilities: History, Trends, and Best Practices" describes recommended best practices and policies for special education from the "deep toolbox" of the United States' Department of Education-sponsored research studies and non-profit resources.<sup>5</sup> The paper includes the following recommended practices and policies that the proposed schools will utilize: a robust RtI framework that includes school-wide assessment, continuous progress monitoring, high-quality instruction, use of research-based interventions in tiers of gradual intensity, professional development that ensures consistent and high-quality provision of interventions, and continuous communication among staff about student progress; Universal Design for Learning (including using multiple means of presentation, multiple options for engagement, and multiple means for action and expression); inclusion of students with disabilities in assessments and accountability systems; preparation for general education teachers teaching students with disabilities; and ensuring students with disabilities have access to appropriate technology to support their academic progress.<sup>6</sup> By incorporating these best practices, Zeta schools aim to accelerate the achievement of students with disabilities and close the special education achievement gap across all subjects.

As referenced in **Response 8(a) - Struggling Students**, the schools will evaluate the efficacy of their efforts to support their most struggling students every assessment cycle through constant monitoring of student progress and growth. Data gathered by the Student Achievement Associate/Manager will be used by the Academic Director, Managing Director of School/Principal, and other members of school leadership to assess the quality and effectiveness of the RtI process and interventions used, as well as the academic and social-emotional success of students with disabilities by reviewing performance and growth of these subgroups alone and as compared to general education peers. The measure of success of this program will be based on whether at-

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<sup>5</sup> Lauren Morando Rhim, *Educating Students with Disabilities: History, Trends, and Best Practices*, Stand for Children Leadership Center, available at <http://standleadershipcenter.org/sites/standleadershipcenter.org/files/media/WWSF-SPED.pdf>.

<sup>6</sup> Lauren Morando Rhim, *Educating Students with Disabilities: History, Trends, and Best Practices*. Stand for Children Leadership Center, available at <http://standleadershipcenter.org/sites/standleadershipcenter.org/files/media/WWSF-SPED.pdf>.

risk and struggling students are on track to meeting Zeta’s grade-level standards.

As a part of this process to assess the efficacy of its Rtl and special education supports, Zeta Schools NYC will use the assessments outlined in **Response 6(b) - Assessment System** to evaluate how its special education students are performing as a subgroup relative to their general education peers, and also consider the rate at which students are being referred for special education evaluations, as well as the rate its special education students are graduating from special education status into the general education mainstream. This data gathered by Student Achievement Associates/Managers will be reviewed with the Managing Directors of School/Principals, Academic Directors, and other members of school leadership at the conclusion of each formal assessment cycle.

### **(c) English Language Learners**

Educating English Language Learners is an ongoing challenge for schools across New York City, as marked by a recent “sharp drop” in graduation rates for students who remain classified as ELLs.<sup>7</sup> Further, with 2016-2017 NYSESLAT proficiency rates (the last year for which results are available) ranging between only 5-18% across all grades, there is clearly significant room for improvement in the education of ELL students.<sup>8</sup> The proposed schools are committed to serving ELLs and supporting them to quickly attain English proficiency using a comprehensive immersion ELL program that follows evidence-based practices.

### **Supports and Interventions for English Language Learners**

The curriculum and school design of the proposed schools have been developed to support students of varying abilities, including ELL students. For example, THINK Literacy interactive read aloud with whole class conversation supports oral language development, vocabulary, and speaking skills—a curriculum inherently differentiated so as to be able to target and meet the needs of ELL students. Small-group guided reading (grouped by reading level) will also serve as an important literacy component to help ELL students achieve English proficiency. Further, Zeta Schools NYC’s utilization of UDL principles will also support the needs of ELLs, as UDL allows for instructional flexibility and seeks to allow more meaningful engagement to meet the needs of a wide variety of learners, including ELLs. If an ELL student fails to show appropriate progress, more intensive interventions and supports may be introduced in accordance with the Rtl model, including but not limited to small-group instruction, pull-out instruction, and/or one-to-one support, with the goal of ensuring that the needs of each ELL student is met.

Additional services and programming will be layered into instruction for any students who demonstrate a need for more intensive support, including English Language Learners. Academic benchmarks will remain rigorous, and students who require additional programming or services beyond the general education curriculum will be

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<sup>7</sup> Kate Taylor, “Graduation Rate in New York State Hits a New High: 79.4%,” New York Times, available at <https://www.nytimes.com/2017/02/10/nyregion/graduation-rate-in-new-york-state-hits-a-new-high-79-4.html>.

<sup>8</sup> 2016-17 NYSESLAT results available at <https://data.nysed.gov/ell.php?year=2017&state=yes>.

supported so as to foster their success in meeting Zeta's expectations that they achieve academic proficiency across all subjects.

ELL students at the proposed schools will have access to all of the general education elements and supports for struggling students described above. In addition to the supports described above, the proposed schools may use any of the following additional interventions for students who are identified as ELLs:

- **English Language Learners:** General education curriculum plus the following as-needed:
  - Tutoring for remediation
  - Tutoring for English language comprehension
  - Cross-teacher collaboration
  - Guidance and support for parents to implement home-based interventions

Zeta Schools NYC will provide all necessary staff and specialized curricular materials to support ELL students to achieve the school's ambitious student performance goals. Curricular materials and facilities for the implementation of the instructional program for ELL students shall not be inferior to those materials and facilities available to English proficient students and will be of at least equal quality and quantity as available to the general population. Zeta Schools NYC may also utilize specialist consultants and training programs, as needed, for guidance, professional development, and ongoing support in working with ELLs.

### **Assessment and Identification of English Language Learners**

The proposed schools will use the State Education Department's process for identifying students who are ELLs, as follows:

- Home Language Questionnaires will be used to screen all new enrollees for potential limited English proficiency.
- If the home language is other than English or the student's native language is other than English, appropriate school staff will conduct an informal interview in the student's native language, if necessary and whenever possible, and in English.
- If the student speaks a language other than English, the school will administer the New York State Identification Test for English Language Learners ("NYSITELL"). A score below the designated cut score for the child shall determine eligibility for services. The NYSITELL shall be administered only once to each eligible incoming student.

In addition, Zeta Schools NYC's teachers will be responsible for observing each student throughout the year with an eye toward detecting limited English proficiency. ELL strategies will be additionally incorporated into the RtI process. Using data gathered by the Student Achievement Associate/Manager, the Managing Director of School/Principal and Academic Director will manage the identification of possible ELLs and work with to ensure the provision of appropriate intervention supports. The the Managing Director of School/Principal and Academic Director will also protect against the over-identification of ELLs as students with disabilities by refraining from referring ELLs to the CSE unless there is reason to believe that a given ELL student has a disability, rather than basing a

referral solely on limited English proficiency.

### **Implementation of Supports for English Language Learners**

The proposed schools' ELL program will follow an English language immersion model to enable ELLs to achieve proficiency in the English language as quickly as possible. The ELL program will incorporate high-quality instruction, differentiation tailored to individual student needs, comprehensive teacher training and support, and meaningful, culturally sensitive partnerships with families. All instruction will be in English. However, the level of English used, both written and oral, will have appropriate scaffolds for each ELL student to ensure that all ELL students have meaningful access to the curriculum. The proposed schools will differentiate instruction in order to accommodate students at all levels and to help each student meet the school's high academic standards. Differentiated instruction will be provided in the forms of both individualized and small-group instruction with teachers who have received training in ELL strategies.

Zeta's strategies in educating ELL students are supported in research. Studies have found that the following components of an education program support academic success for ELLs: constant review of data to establish a comprehensive knowledge of student performance; development of plans to address poor student performance that are monitored over time; intensive and recurring professional development for teachers and administrators; strong standards of school and classroom behavior management; strong school leaders who hold all staff accountable for student progress; emphasis on vocabulary instruction; providing cooperative learning opportunities; providing one-to-one tutoring and individualized instruction for struggling students; and the partnering with parents and families to develop positive relationships between ELL families and the schools.<sup>9</sup> The ELL program in place at the proposed schools will contain all of these components, and accordingly exhibits the potential to accelerate the achievement of ELL students.

The proposed schools will ensure collaboration between general education teachers and any staff providing ELL supports or instruction through staff meetings, professional development, the RtI process, and informal discussion. Teachers of ELLs will minimally be required to hold the same qualifications as general education teachers. Teachers with experience and positive results from having previously instructed ELLs will be sought to fill instructional roles in the ELL program.

Relevant professional development will include trainings in literacy and math, specifically on methods of instruction that support the identification of possible ELLs and strategies to support them within the curriculum in order to effectively meet the unique needs of ELL students. Further information regarding the professional learning related to ELL instruction is provided in **Response 9(c) - Professional Development**.

Further, the proposed schools will highly value parental partnerships and the positive

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<sup>9</sup> Margarita Calderon, Robert Slavin, and Marta Sanchez, "Effective Instruction for English Learners," Immigrant Children, available at [http://futureofchildren.org/futureofchildren/publications/docs/21\\_01\\_05.pdf](http://futureofchildren.org/futureofchildren/publications/docs/21_01_05.pdf); see also, Claude Goldenberg "Unlocking the Research on English Learners," American Educator, available at <http://files.eric.ed.gov/fulltext/EJ1014021.pdf>.

impact such partnerships can have on student achievement. The schools will accordingly conduct outreach to ELL families to ensure their participation and involvement in their students' education, including introducing home-based learning strategies that may be employed to enable students to further progress toward achieving English proficiency. Communication for this purpose will be provided to ELL families in their home language and may include printed materials, electronic communication, and/or the use of translation services to facilitate phone or in-person dialogue.

ELL students' proficiency in the English language will be measured at least annually to determine whether continued special services are warranted. The school will evaluate each student's performance in academic content areas to measure the student's progress in core subjects. The school will also use the NYSESLAT to assess ELL students. The scores on the NYSESLAT indicate the proficiency level (beginning, intermediate, advanced, or proficient) the student has achieved each year and whether the student's level of English is high enough to graduate from the ELL program.

Any student identified and receiving education services as an ELL student who subsequently tests high enough to exit the program will be deemed to be no longer in need of ELL services. No student will be exited from the ELL program unless he/she can read, write, and comprehend English well enough to participate meaningfully in the school's programs.

In order to ensure that the ELL program is successful and students are making progress in the acquisition of the English language and are making progress academically, Zeta Schools NYC will annually evaluate the program. To determine if any programmatic modifications are necessary, the the Managing Director of School/Principal and Academic Director, together with the Managing Director of Academics, will evaluate the progress of their ELL students on standardized assessments and non-standardized assessments against that of non-ELL students. The schools will, as appropriate and possible, also track students longitudinally throughout their enrollment in the schools to determine whether there is a significant variation in the academic achievement of students who were once classified as ELL and non-ELL students as measured by standardized assessments and non-standardized assessments. The schools will track how many students are declassified as ELL and the number of instructional years it takes for this declassification to occur. The schools will continue to use F&P, NYSESLAT, and other benchmark assessments outlined in **Response 6(b) - Assessment System** to track and gauge ELL student growth and to evaluate the efficacy of the ELL program. Based on an evaluation of the foregoing, Zeta Schools NYC will make adjustments to the ELL program to ensure constant improvement and that its ELL students are educated at the highest levels.

#### **(d) Gifted and Advanced Students**

At Zeta Schools NYC, the core curriculum is designed to address the needs of all students, including academically advanced students. The proposed schools' program for academically advanced students is designed to accelerate the achievement of gifted and advanced students.

#### **Identification of Gifted and Advanced Students**

The schools will hold regular data-driven meetings, aligned with the assessment cycles, in which faculty and leaders meet to analyze school-wide, grade, class, and individual student data, and then create targeted intervention groups designed to most effectively address student needs. As part of this planning, the school staff will identify advanced students based on formal and informal testing, and their needs will be met through targeted groups at their level, including leveled guided reading groups, math, and writing practice groups.

Following the first round of formal academic assessments and throughout the year, students will receive small-group instruction, grouping students by reading ability level. Grouping students by reading ability level enables them to receive more individualized and targeted instruction by their teachers and to be challenged, through cooperative learning and common goals, by their peers who are learning the same skills. Regrouping will occur in accordance with assessment cycles to ensure students are appropriately challenged. Such regrouping acknowledges student growth and allows teachers to tailor instruction to meet specific student needs.

### **Supports and Interventions for Gifted and Advanced Students**

The proposed schools will provide advanced students opportunities to participate in a different grade for particular subjects, such as math, reading, or writing, in which they are significantly advanced. Each school will use the Fountas and Pinnell and other benchmark assessments to track and gauge advanced student growth and to evaluate the efficacy of the advanced student program.

Though all students will be challenged with engaging Z Lab projects, advanced students will have the ability to study subject matter more in depth through independent long-term projects focused on research and problem solving. For example, a student interested in geography may “go deep” by researching a country’s history, culture, language, political system, and topography in order to uncover its issues, needs, and possible solutions. With so many regional and national opportunities for sharing ideas more broadly, students will be encouraged to publish their ideas and/or present their work in fora outside of school.

The schools’ Z Labs will further provide the environment and resources for students to invent and explore. These laboratories will enable advanced and gifted students to utilize higher-order skills to tackle real-world problems in creative ways, to invent solutions to challenges they identify, and to explore their interests without limits so as to remove the ceiling of what is possible for them and what they may invent and accomplish.

In addition to independent long-term projects, Zeta Schools NYC will leverage online programs to expand opportunities for academically gifted students. This will allow gifted students to work at their own pace to take advanced courses in subjects such as math, science, writing, critical reading, languages, and computer science.

By providing advanced students opportunities to build upon the already rigorous curriculum, the proposed schools will provide ample opportunities for these students to accelerate their learning. If a student consistently performs significantly above grade level, they may be considered for promotion to the next grade prior to the end of the

year. Further information about the factors considered in mid-year promotions are set forth in **Response 6(e) - Promotion and Graduation Policy**.

## **9. Instructional Leadership**

### **(a) Instructional Leadership Roles**

#### **Instructional Leadership Structure**

The Managing Director of Schools/Principal holds the highest level of accountability for academic outcomes. The Managing Director of Schools/Principal, supported by a Resident Managing Director of Schools/Principal starting in year two, oversees the academic team, including the Academic Director and the Student Achievement Associate/Manager, whose roles directly impact student outcomes for all student populations. Each Zeta school has an Academic Director, who is responsible for implementing the instructional program, including but not limited to excellent student outcomes, teacher training, curriculum development and implementation, academic data, and testing. Zeta's Academic Directors work under the oversight of the Managing Director of Schools/Principal. Zeta's Academic Directors collaborate with each other to ensure instructional excellence across all schools, and work with the Managing Directors of School/Principals and the network Managing Director of Academics to make important instructional decisions for the schools, including, but not limited to, hiring and firing instructional staff and selecting curricular and professional development materials. The Academic Directors are accountable for student achievement and teacher effectiveness, including the identification of at-risk students and implementation of appropriate services so that at-risk students can be successful. The Academic Directors work closely with the broader instructional team, comprised of all teachers, a Student Achievement Associate/Manager, the network Special Populations team, and a School Psychologist.

Starting in the third year of operation, each school will have an additional Academic Director or Associate Academic Director, and starting in the fourth year of operation, each school will have two additional Academic Directors and/or Associate Academic Directors (three total). These individuals will support the Academic Director and serve as an academic leader and coach for teaching staff. Along with the Academic Director, these individual will be responsible for excellent student outcomes, with a particular focus on teacher coaching, instructional management systems, academic data analysis, testing, managing the tutoring program for students academically behind their peers, and managing the accelerated learning program for advanced students, along with other duties deemed appropriate by the Academic Director.

The Student Achievement Associate/Manager at each school supports the Academic Director by managing data and data analysis. This allows the Academic Director to identify students who require more academic support, such as students with special needs, English Language Learners, and advanced students. In addition, Student Achievement Associates/Managers handle all logistics associated with coordinating any internal and external services and supports for students with special needs. Finally, Student Achievement Associates/Managers also play an important role in liaising with the local special education committees to ensure that students

are receiving appropriate academic and social-emotional services as mandated by their IEPs and that students requiring special education services receive them quickly.

School Psychologists are instrumental to supporting Zeta's special populations. School Psychologists also work with teachers and leaders to create supportive systems and plans for special populations. In addition, School Psychologists work with students and their families to ensure that the connections between home and school are strong, and that families are providing the support that students need to be successful.

### **Instructional Leader Selection and Competencies**

In selecting members of the instructional leadership team, Zeta seeks individuals whose experience and competencies align with Zeta's mission to build high-performing, replicable public charter schools that mine the potential of children and their educators to raise thriving communities of lifelong learners and productive world citizens. The basis on which Zeta's leadership team is identified, selected, and evaluated includes the following:

- **Lead Learning:**
  - Live the Zeta mission and articulate and implement a vision based on Zeta's mission
  - Model what excellence looks and sounds like
  - Use data to drive learning and development
  - Prioritize, make strategic decisions, and plan to effectively solve problems
  - Share successes and cultivate Zeta-wide leadership
  - Reflect on and own areas of growth
  
- **Manage Others:**
  - Know team members and what they need to build capacity
  - Leverage team strengths and create development plans for growth areas
  - Anticipate and address performance issues quickly
  - Communicate effectively with transparency and candor
  - Use sound judgment to make personnel decisions
  - Know when to inspire, when to coach, and when to manage
  - Ground performance management in student outcomes
  
- **Implement Structures and Systems:**
  - Communicate and follow safety and crisis management protocols
  - Follow a continuous cycle of improvement (set goals, check progress, give feedback, follow up, and support)
  - Manage time effectively
  - Monitor systems for school culture, academics, operations, and professional development

Further information on the competencies sought in instructional leadership are outlined in **Response 11(b) - School Leadership and Management Structure.**

In building an instructional leadership team for the proposed schools, Zeta looks at strong internal candidates who may be developed into leadership positions, such as an Associate Academic Director at another Zeta school who is ready to take on the role of Academic Director. In selecting internal candidates, Zeta looks at the evaluation data collected through the performance management process to identify high performers whose competencies align with those desired in the leadership roles. Zeta also seeks qualified external candidates for instructional leadership roles. Further information on the selection process for instructional leadership is described in **Response 11(b) - School Leadership and Management Structure**, **Response 11(c) - Staff Recruitment and Retention**, and the **Business Plan** submitted with this application.

### **Monitoring Effectiveness of Instructional Program**

Instructional leaders monitor the effectiveness of the academic program and at-risk students' academic performance through regular formal and informal student assessments, observation of and real-time feedback to teachers, and annual reviews of student performance, curricula, and staff performance. The ultimate measure of the effectiveness of the academic program in serving all students, including at-risk students, will be student outcomes, assessed through the assessment, data analysis, and audit processes described in **Response 6(a) - Curriculum Selection Process**, **Response 6(b) - Assessment System**, **Response 6(f) - Programmatic Audits**, and **Responses 8(a)-(c) - Specific Populations**.

#### **(b) On-going Teacher Supervision and Support**

The most effective lever to exceptional instruction is faculty development. In addition to the formal approaches to development described in **Response 9(c) - Professional Development**, the instructional leadership team provides ongoing, informal support to instructional staff throughout each day. Our approach to development is informed by our founding team's extensive experience designing and implementing professional development and instructional management at high-performing schools over the last decade, as well as through visits to and conversations with leaders from schools with strong academics and school culture.

The proposed schools will encourage real-time, frequent coaching and support. The Managing Director of Schools/Principal, Academic Director, and Associate Academic Director (if applicable) will support teachers on a daily basis through regular classroom observations and real-time coaching and feedback, team meetings, and one-on-one meetings. To ensure that struggling students, students with special needs, and English Language Learners receive highly effective interventions, the Academic Director and Associate Academic Director will take particular care to regularly observe instruction of these students and give teachers frequent feedback. Additional observations may be conducted and feedback provided by other members of the instructional leadership team on a periodic basis throughout the school year. Rather than wait until a formal review to address growth areas, real-time coaching allows

teachers to make improvements daily and right away, ensuring that their students benefit from their greatest instructional abilities.

Instructional leaders further support the teachers in weekly planning meetings and through frequent email communications, as well as through an open-door policy. All teachers are encouraged to meet with, talk to, email, text, and/or call their supervisors with questions and concerns at any time.

### **(c) Professional Development**

In order to achieve great outcomes for students, Zeta believes that adults must be focused on their own continuous improvement. Zeta's mission of forging communities of lifelong learners begin with our staff, and professional development, or professional learning, will be a part of the professional responsibility of all Zeta team members. Zeta's professional learning program is designed to hone skills, provide content area knowledge, and improve pedagogical techniques so that the school team is prepared to mine the potential of every student and deliver excellent academic outcomes. As described in **Response 9(a) - Instructional Leadership Roles** above, designing and leading professional learning programs is the responsibility of the Academic Director, working with the Managing Director of Academics, Managing Director of Schools/Principal, and school instructional team. In identifying professional learning topics and focuses, the Academic Director and instructional team starts with a standard scope and sequence developed based on past experience and, informed by data, student outcomes, and teacher feedback, supplements and/or adjusts as needed throughout the year in order to ensure that professional learning is targeted to network, school, and teacher areas of highest need. Professional learning is differentiated to the needs of individual teachers, ensuring that teachers at all levels of experience and proficiency receive supports that match their particular needs, as further described below.

We believe that excellence starts with the adults: leaders first and foremost, next teachers, and finally students. The adults have the responsibility and the authority to achieve excellence. It is this belief in the power of adults that drives our continual, quality professional learning for all members of the school team. Moreover, to ensure that students meet the school's high expectations, Zeta will make improvements to teaching, coaching, and leading in real time.

Zeta teachers accordingly receive over 375 hours of professional learning each year, consisting of approximately 27 full days of professional learning, approximately 37 weekday 3-hour afternoon sessions, weekly planning, and data meetings to study together, and consistent real-time coaching throughout the year. Leaders receive additional professional learning, ensuring that they are also improving their practice and reflecting on their progress. The schools' instructional leaders, supported by Zeta CMO staff and external experts, plan and provide professional learning, drawing from many proven methods, structures, and programs that are aligned with the way in which Zeta evaluates teachers and leaders. Professional learning methods include both formal presentations and informal observations and feedback sessions. Participants also have ample opportunities to engage hands-on with new strategies and

materials, through teach backs and observations so that they learn through doing, not just seeing and hearing. This continuous cycle of instruction, observation, feedback, implementation, and reflection ensures that all instructional team members have the tools they need to actualize rigorous, engaging, achievement-driven classrooms.

In addition to professional development led internally, Zeta teachers and leaders will receive professional development from external individuals and organizations on a regular basis to ensure that they are learning best practices from experts across the field. Teachers and leaders will work with a team of skilled instructional consultants and coaches focused on topics ranging from math to block play to phonics to classroom management. Instructional consultants may also spend several consecutive days with Zeta leaders and teachers coaching, observing, modeling, and leading planning meetings and training sessions.

Professional learning at the proposed schools will include significant and continuous training on differentiated instruction, which, as described in **Response 8 - Specific Populations**, plays a vital role in the instruction given to struggling students, students with special needs, and ELLs. The proposed schools will place great emphasis on differentiated instruction in order to accommodate students at all levels and to help each student meet the school's rigorous academic standards. Teachers will receive professional learning training in literacy and math that supports the identification of possible learning needs and strategies to support students with additional or special needs within the curriculum. For ELL students, teachers will be trained to implement proven supports, such as face-to-face conversations, language scaffolding, interactive discourse, vocabulary acquisition through peer collaboration, and at-home audiobooks, will be crucial in developing teachers to support the needs of all ELL learners.

The proposed schools' professional learning programs will be grounded in creating educational environments conducive to academic success, reflecting the belief that all students can learn at high levels and that educators are responsible for seeing to it that they do. To the extent that at-risk, ELL, or special needs populations are not appropriately progressing based on regular-cycle assessment data, the Academic Director will in real time study what structural fixes must be made and implement any necessary changes and additional teacher training to fill in any training gaps.

### **Zeta Summer University**

Before the first day of school each year, Zeta hosts a multi-week Summer University, through which all staff members receive extensive orientation and training, with specialized training sessions targeted to Zeta's academic model and approach. Zeta's summer training begins with programs and planning sessions targeted at leaders. Following leader training, Zeta provides approximately 18 full days of training for all teachers over the summer. During this period, teachers undergo training focused on professionalism, school culture and values, classroom management, and the Zeta instructional model, followed by an intensive orientation during which teachers delve deeper into Zeta academics, policies, and culture. Teachers undergo

training in specialized tracks tailored to their needs, which include, but are not limited to:

- Zeta’s mission, vision, values, and culture
- Zeta instructional components and curriculum content
- Instructional strategies and best practices
- Social-emotional development
- Behavior management
- Parent communication and cultivating great school culture
- Systems, processes, and efficiencies
- Zeta policies and procedures

Additional learning sessions are tailored for staff in different roles, including grade-level curriculum content, science- or specialist-focused content, and content for School Psychologists.

Summer sessions are interactive, allowing participants ample opportunities to engage with the materials in a hands-on manner, such as modeling and receiving feedback through teachbacks and engaging with curricular concepts themselves. This allows participants to try out the material they are learning in a dynamic way, thus having executed many of the content and strategies they will implement on the first day of school before they are in front of students. Samples of professional learning materials, as well as samples of teacher work from hands-on trainings where teachers engaged directly with content projects, are included in the Zeta Portfolio in **Response 23(b) - Supplemental Attachments**.

Sample Summer Professional Learning Scope & Sequence for Instructional Staff

The following table sets forth a sample scope and sequence for summer professional learning for school leaders and staff. A more detailed sample summer professional learning schedule is included in the Zeta Portfolio attached in **Response 23(b) - Supplemental Attachments**.

Week	Date	Session Title
<b>Zeta Summer University: Leaders (MDs, ADs, ODs, Operations Team)</b>		
<b>Leaders : Week 1</b>	Monday	Mission, Vision, Core Values & School Design of Zeta Charter Schools
		Intro to Compass
		Compass Badge Work & Measuring Success
	Tuesday	Book Discussion: Radical Candor
		Management Learning Session
		Performance Management Systems

		Adult Performance Management Systems
	Wednesday	Escalation Training
		Zeta WOW in Family Service
		Star Teams
		School Culture Plan
		Parent Interaction Training
	Thursday	Circle Practice: True North & Check-In/Check Back
		Z-Lab: Our Vision
		School Team Planning Time
		Planning: Welcome Meetings
		Field Trip New Lab
	Friday	Book Discussion: GRIT
		Team Building Activity
		Planning to Turnkey Culture Sessions
<b>Leaders : Week 2</b>	Monday	Book Discussion: Mindset
		Vision of Behavior of Zeta and Structures for Success
		Moving Teacher Practice in Classroom Management
		Planning and Practice: Behavior Management First 6 Weeks
		Struggling Students: Tactics to Teach Excellence in Behavior in First 6 Weeks
		Planning: Communicating Vision to Staff Behavior Management
	Tuesday	Ramapo Training
		Planning for Behavior Management School Wide Systems (Ramapo Supports)
	Wednesday	Circle Practice: Work, Appreciations & Closing
		Reading: Our Components and Our Bar

		Adult Understanding: Main Idea and How We Get There
		Practice and Planning: Bringing Reading to Life in the First 6 Weeks: Leader Expectations, Teacher Expectations, Student Expectations
	Thursday	Math: Our Components and Our Bar
		CGI Training
	Friday	Circle Practice: Full Facilitation
		Writing: Our Components and Our Bar
		Adult Understanding: Excellent Essay Writing
		Practice and Planning: Bringing Math & Writing to Life in the First 6 Weeks: Leader Expectations, Teacher Expectations, Student Expectations
<b>Leaders : Week 3</b>	Monday	Teacher Interaction Training
		Leader Planning/Turnkey
	Tuesday	Parent Interaction Training
		Leader Planning/Turnkey
<b>Zeta Summer University: All Staff</b>		
<b>All Staff 1: Teachers</b>	Wednesday	Welcome, Mission, Vision, & School Design
		Zeta Core Values
		School Team Time: Professional Expectations
	Thursday	Organizational Team Building
		Book Discussion: Mindset
		Our Values: Socio-Emotional Development
		Intro to Zeta Compass
		Intro to Compass Work
		Diversity and Inclusion Training
	Friday	Circle Practice: True North & Check-in/ Check back

		Our Vision: Behavior Management
		Planning: Classroom Behavior Management Structures and Systems
<b>All Staff: Week 2</b>	Monday	Book Discussion: GRIT
		Struggling Scholars (Extreme Behavior in the First 6 Weeks)
		Restorative Practice
		Being a school psychologist at Zeta: Our values and expectations (School Psychs)
		Getting it Right Day 1: Systems and Routines Planning, Preparation and Practice
	Tuesday	Circle Practice: Work, Appreciations & Closing
		Ramapo Training (Part 1)
		Ramapo Training (Part 2)
	Wednesday	Book Discussion: GRIT
		Our Vision: Parent Partnerships
		Structures for Parent Communication
		Parent Interaction Training
	Thursday	Bullying
		Literacy at Zeta: Components and How They Fit Together
		Adult Understanding: Main Idea
		De-Escalations Part 1: Assessing The Situation and Your Initial Response (School Psychs)
		Guided Reading/Read Aloud Lesson Structure and Components: What is Our Bar?
		Guided Reading Teachbacks
		De-Escalations Part 2: Recognizing and Managing Adults During Student Crises (School Psychs)
		EOY Literacy Benchmarks

		De-Escalations Part 3: Practicing Crisis Response (School Psychs)
	Friday	ACS
		Helping Teachers Maintain High Behavioral/Social Expectations for children who have experienced trauma or have cognitive disabilities that impact their behavior (School Psychs)
		Our Vision: Model Unit 1 Lessons for Reading
		Foundations & Unit 1 Launch: Reading
		De-Escalations Part 4: Understanding Management of Crisis Follow Up (School Psychs)
		Preparing for Week 1: Teachback Reading Lessons
		Interaction Training: Supporting Teachers with Behavior Plan implementation and Including parents in behavior plan development (School Psychs)
		School Team Time: Compass Circle
		ACS
<b>All Staff: Week 3</b>		Monday
	CGI Training	
	Tuesday	Progress Monitoring Data: Best Practices and expectations (School Psychs)
		Compass Practice (School Psychs)
		Preparing to Launch CGI: Systems/Materials and Routines
		Counting Collections with K
		CGI Teachbacks
		Book Discussion: Children's Mathematics
		Interaction Training: Reviewing Reports with Parents (School Psychs)
		Compass: Measuring Success
	Wednesday	Restorative Practice and your Role (School Psychs)
		Adult Understanding: Math Routines

		Math at Zeta: Components and Our Bar
		Foundations and Unit 1 Launch: Math
		Preparing for the First 6 Weeks: Setting Clear Math Expectations, Studying Work and Giving Feedback
		Supporting students who express self-harm thoughts/behaviors and Supporting families in times of Crisis (School Psychs)
		Circle Practice: Full Facilitation
	Thursday	Adult Understanding: Excellent Writing Starts with Excellent Thinking
		Our Vision: Model Unit 1 Lessons for Writing
		Foundations & Unit 1 Launch: Writing
		Preparing for the First 6 Weeks: Setting Clear Literacy Expectations, Studying Work and Giving Feedback
		Interaction Training: All scenarios (School Psychs)
		Psych Specific 6 Week Checklist (School Psychs)
	Friday	Book Discussion: Guide to the Writing Workshop
		SFA
Mindfulness techniques for kids (School Psychs)		
Monday	RTI	
	Planning: Success in the First 6 Weeks for Special Populations	
	Safety and Emergency Prep	
	Differentiation: Structures for Success	
	Our Vision: Special Populations	
Tuesday	IEPs & 504 Plans	
	IEP/504 Review: Look at Incoming Students	
	Review School Schedules in Schools	
	Best Practices: Students Who Soar	

		Practice: Students Who Struggle
		School Team Time: Compass Circle
	Wednesday	RTI and your role (School Psychs)
		Preparing to Unpack
		First Days Lesson Planning and Practice
		Top Ten Systems
		Creating Mock Schedules (School Psychs)
	Thursday	Bulletin Boards
		Preparing to Meet Your Teacher
		Interaction Training: All scenarios (School Psychs)
	Friday	Final Rehearsal for Meet Your Teacher & School Set Up
	<b>All Staff: Week 4</b>	Monday
Tuesday		Dismissal Practice & School Set Up
Wednesday		Recess Practice & School Set Up
Thursday		First Day Walkthrough, Cafeteria Practice, & School Set Up
Friday		School Set Up
		Focus on Social Development (School Psychs)

### Ongoing and Weekly Professional Learning

In addition to professional learning during the summer, Zeta schools provide ample opportunities for ongoing professional learning during the school year. This ongoing development provides teachers and leaders with the opportunities to learn and implement new strategies based on new, evolving experience, information, and data, continuously improving instructional skills to support excellent outcomes for students.

During the school year, teachers and school leaders will have professional development activities one afternoon per week from approximately 1:00-4:00 pm. Additionally, there will be approximately twelve full-day professional learning days during the school year, with some dedicated exclusively to leader development. These dedicated days will allow teachers and leaders to spend full days in school in the middle of the year engaged in professional learning activities and workshops.

Zeta professional development session topics and trainings will be determined by school leaders, principally the Managing Directors of School/Principals and the Academic Directors. Professional learning planning and implementation will be supported by the academic team at Zeta CMO and outside consultants as necessary. Each session will be designed to address student achievement and teacher pedagogical needs based on up-to-date information. To ensure the needs of all teachers are met, sessions will be further differentiated by teacher proficiency and focus areas, with dedicated trainings for science teachers, specialist teachers, and school psychologists, among others.

In addition to weekly training sessions, teachers will attend weekly planning meetings with their grade teams and leaders to analyze student work and data and plan instruction using this analysis. This will ensure quality and consistency of preparation, execution, and outcomes across grade levels.

As described above, teachers will be observed regularly by their school leaders and receive constructive feedback aimed at helping them push their practice. Less experienced teachers will be observed more frequently and given more opportunities to seek out support from their leaders to ensure they are empowered to drive student achievement. There will never be any limits imposed on the abilities of school leadership to observe the classes in their school. Teachers may also have opportunities to attend external trainings and conferences targeted to their areas of interest or growth.

Leaders and teachers will also have the opportunity to attend external conferences intended to meet their individual pedagogical needs and target their areas of expertise. Teachers and leaders may attend conferences organized by a variety of organizations.

Zeta teachers will also take advantage of the opportunity to learn best practices from other teachers, both within and outside Zeta Schools NYC. Inter-visitations between schools within Zeta Schools NYC will be arranged regularly, and teachers will also have opportunities to visit great non-Zeta schools to observe high-caliber instruction and bring new pedagogical ideas and strategies back to their classrooms.

Sample Weekly Structures for Instructional Staff Professional Development

Event	Timing / Frequency	Topic
Weekly PD: Team Meeting	1 x week 45 min on early dismissal day	<ul style="list-style-type: none"> <li>● Team bonding and shout-outs</li> <li>● School Dashboard: academic and school culture data</li> <li>● What's working/What's not?</li> <li>● The week ahead</li> </ul>

Weekly PD: Grade Team Meeting	1 x week 90 min on early dismissal day	<ul style="list-style-type: none"> <li>Analyzing student work and data</li> <li>Planning and differentiating instruction</li> <li>Studying and planning curriculum and instruction</li> <li>Practicing lesson delivery</li> </ul>
Weekly PD: On-Your-Own Learning	1 x week 45 min on early dismissal day	<ul style="list-style-type: none"> <li>Training based on individual/small group needs (see more information on topics below)</li> <li>1:1s with instructional manager</li> </ul>
Team Planning Time	1 x week 45 min during common planning time	<ul style="list-style-type: none"> <li>Analyzing student work and data to differentiate instruction</li> <li>Studying and planning curriculum and instruction</li> </ul>
Team Implementation Time	1 x week 45 min during common planning time	<ul style="list-style-type: none"> <li>Creating differentiated groups</li> <li>Practicing lesson delivery</li> </ul>
Weekly 1:1 Meetings	1 x week 20 min	<ul style="list-style-type: none"> <li>Goal setting and feedback on progress toward short-term and long-term goals</li> <li>What's working/What's not</li> </ul>
Ongoing Support Structures	1 x week and as needed; dedicated time during Weekly PD at early dismissal	<ul style="list-style-type: none"> <li>1:1 and small-group study, planning, and feedback sessions</li> <li>Real-time coaching and feedback sessions</li> <li>Classroom labsites, where one teacher models best practices and other teachers observe and then practice implementing</li> <li>Framed classroom observations with the Academic Director, where the Academic Director narrates what the teacher is doing and what students are doing as a result</li> <li>External conferences and professional development opportunities</li> </ul>

**Sample Ongoing Scope & Sequence of Instructional Staff Professional Development (First Eight Weeks of School):**

<b>Focus for First Eight Weeks:</b> Excellence Training and Baseline Data: Active Learning   Building Relationships   Culture & Learning Environment			
Month	Date	Topics to Cover	On the Horizon...

<b>August</b>	<b>Day 1 (half day)</b> First day of school	Behavior Management: Routines, Transitions, teachbacks, etc. Launching components (see right)/First Week Plans K component launches 1 component launches	First full day of school! (9/3) K component launches: 1 component launches:
	<b>Day 2 (half day)</b>	NYSITELL Training Launch Second Step and True North Badge Work Walkthrough first full day with whole staff Ramapo	NYSITELL Assessments
	<b>Day 3 (half day)</b>	Circle Debrief Behavior Launch of Z-Lab and expectations Leader/Teacher 1-1	
	<b>Day 4 (half day)</b>	Relationship Building w/ Parents ELL Turnkey Science Circle Mini-Circles Practice F&P Training Ramapo	
	<b>Day 5 (half day)</b>	Final walkthrough first full day with whole staff Science Circle Mini-Circles Practice SFA Assessment	
<b>September</b>	<b>Week 2</b>	Math Counting Assessment Logistics Behavior Management: Math Routines Launching Guided Reading Roots Launch Science Circle Map Testing Logistics	Math Counting Assessment (9/10-9/14) K component launches 1 component launches MAP Testing (9/13-9/14)
	<b>Week 3</b>	Behavior Management: Math Routines Science Launch Second Step and Sharp Mind Badge Work Circle	F&P Assessment (9/17-9/25) Social Skills Improvement system (9/19) 9/17: Roots launch
	<b>Week 4</b>	Zeta Star Team Launch Field Studies 101 Behavior Management: Math Routines Number Stories Science Circle	Launch RTI First field study week of 9/20 Zeta Star Goal Setting (teachers)(9/26)

	<b>Week 5</b>	Behavior Management Science Guided Reading Circle	ELL Assessment (10/2)
<b>October</b>	<b>Week 6</b>	F&P Analysis Behavior Management: Specialist IA Logistics RTI 101 Launch Big Heart Badge Work Circle	Specials IA (10/4) Launch of Compass Big Heart Badge Work (10/8)
	<b>Week 7: FULL DAY PD</b>	Proctoring 101 Number Stories 2.0 Science IA Logistics (Sci teachers only) Behavior Management Science Circle	Science IA (10/11) Math IA
	<b>Week 7</b>	Math IA Logistics Behavior Management K Guided Reading Science Circle	Math IA K Guided Reading starts 10/15
	<b>Week 8</b>	Math IA Data Analysis Behavior Management Science Circle	

### Teacher Development Plans

In order to target specific teacher needs, Managing Directors of School/Principals and Academic Directors may develop professional development plans for individual teachers based on identified instructional weaknesses, teacher interests, and analyses of student performance on assessments. These development plans will include both short-term and long-term goals and create a scaffolded plan to achieve those goals. Plans will identify tactics to be used by both the teacher and the leader, and how student outcomes will be reinforced using these tactics.

#### Sample Novice Teacher Development Plan:

**SHORT-TERM GOAL:** By the end of the week, clearly state expectations so that 100% of students are consistently meeting or exceeding expectations.

**LONG-TERM GOAL:** By the end of October, 100% of students can explain the purpose of the lesson and why it is important.

## TACTICS:

### Leaders are . . .

- **Counting** number of students meeting expectations.
- **Coaching** teacher to restate expectations when he/she doesn't notice doesn't have 100% meeting expectations.
- **Coaching** teacher on using a neutral voice.
- **Coaching** teacher to narrate who is doing the right thing.
- **Coaching** teacher to practice and re-do until it becomes second nature.
- Giving teacher **2 things that went well and 1 thing to work on** that relates to the goal. If teacher is meeting expectations consistently over 2-3 days, move on to another bite-sized goal.

### Teachers are . . .

- **Noticing** who is meeting expectations and rewarding those who do and **addressing** those who don't with a neutral voice.
- **Narrating** who is meeting behavioral AND intellectual expectations (e.g., "John has his eyes glued to his book, thinking about how the main character is changing")
- **Restating** expectations more clearly when less than 100% of class is meeting expectations.
- **Practicing** and re-doing until it becomes second nature.
- **Implementing** feedback!

**As a result, 100% of students are meeting expectations and are eager to learn what is next; the teacher is working toward the longer-term goal of ensuring all students can explain the purpose of all lessons.**

### Sample Experienced Teacher Development Plan:

**SHORT-TERM GOAL: By the end of the week, 100% of students are holding each other accountable for effective discourse.**

**LONG-TERM GOAL: By January, be the model of effective classroom discourse and be able to teach others to do the same.**

## TACTICS:

### Leaders are . . .

- **Reviewing** the roadmap of questions a teacher has planned and identifying potential pitfalls.
- **Coaching** teacher to drive toward purpose by being flexible with questioning and tapping students to hold each other accountable.
- **Coaching** teacher to practice and re-do until it becomes second nature.

- Giving teacher **2 things that went well and 1 thing to work on** that relates to the goal. If teacher is meeting expectations consistently over 2-3 days, move on to another bite-sized goal.

### **Teachers are . . .**

- **Asking** teacher to write down (and break down) the moves she/he is making so that other teachers can learn from her/him.
- **Noticing** when students are holding each other accountable in answering the questions asked or evaluating others' responses (e.g., "Notice how Julia realized Josh had a good idea, but it wasn't really answering the question, so she asked him a clarifying question") and **addressing** when it doesn't happen with a neutral voice (e.g., "I noticed that the discourse is off course . . . let's back up with where Julia left off—what happened when John added on?").
- **Listening** and **giving wait time**; **facilitating** only when necessary and giving the reins back when students are ready.
- **Restating** expectations more clearly when less than 100% of class is meeting expectations.
- **Practicing** and re-doing until it becomes second nature.
- **Implementing** feedback!

**As a result, students are holding each other accountable for effective discourse, and the teacher is progressing toward her/his goal of being the model of effective classroom discourse by breaking down her/his moves so that she/he can teach others to do the same.**

Additional samples of Teacher Development Plans are included in the Zeta Portfolio in **Response 23(b) - Supplemental Attachments**. Additionally, see the Zeta Portfolio in **Response 23(b) - Supplemental Attachments** for a reflection of a current Zeta teacher on professional learning opportunities at Zeta, including experience with a development plan.

### **Assessment of Professional Development Effectiveness and Teacher Needs**

School leaders and the Academic Directors, supported by Zeta CMO, will regularly assess the effectiveness of professional development and adjust future plans accordingly. Professional development effectiveness will be assessed and analyzed in various ways, including, but not limited to:

- Surveys administered periodically to teachers after professional development sessions and analyzed by school leaders and the Academic Directors;
- Instructional observations by the Managing Directors of School/Principals and Academic Directors to assess teacher proficiency in implementing each curricular component;

- Classroom management observations by the Managing Directors of School/Principals and Academic Directors to assess teacher proficiency with classroom management tactics; and
- Most importantly, student outcomes based on assessment and observational data.

The Managing Directors of School/Principals and Academic Directors will consistently use evaluations of professional development effectiveness and student achievement to inform their planning, caucus with school leaders about teacher needs weekly at school leader meetings, and hold informal and formal conversations with grade team leaders to evaluate the efficacy of Zeta’s professional development program. Adjustments will be made as needed to ensure the professional learning components are targeting areas of highest need.

#### **(d) Teacher Evaluation and Accountability**

Teachers are evaluated on a continuous basis. As described above, instructional leaders are expected to observe and give feedback to teachers daily and on a regular basis, ensuring that all teachers receive the support that they need in real time, allowing them to grow to their highest potential as teachers.

Teachers are evaluated on the basis of three elements: quality of instruction, school culture, and student achievement. We will develop and use a Zeta Teacher Rubric to evaluate the quality of instruction. The Zeta Teacher Rubric will be a modified version of several high-quality rubrics that describe the domains of exceptional teaching, including Success Academy<sup>1</sup> models. This evaluative tool will reflect the common language we will use to describe what rigorous instruction and an excellent learning environment looks and sounds like. Student achievement outcomes, attendance records, and disciplinary data feed into compensation and promotion decisions. Further information regarding the collection and analysis of student data is included in **Response 6(a) - Curriculum Selection Process** and **Response 6(b) - Assessment System**.

A sample rubric used to assess teachers during frequent observations and walkthroughs is included in the Zeta Portfolio in **Response 23(b) - Supplemental Attachments**.

Teachers will complete self-evaluations to establish a baseline and set goals at the beginning of the year, inform a mid-year performance assessment, and inform an end-of-year performance assessment. In doing this, teachers will be able to reflect on their practice, and Managing Directors of School/Principals and Academic Directors will have a candid conversation about their progress, development, and growth areas.

By engaging in continual evaluation and self-reflection, teachers are always aware of their strengths and growth areas, allowing them to improve their practice constantly, rather than waiting for formal reviews. This practice supports higher-quality teaching, allowing teachers to serve their students at the highest level.

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<sup>1</sup> The “QET” is available through the Success Academy Ed Institute: <http://www.successacademies.org/edinstitute/>.

## 10. School Culture and Discipline

### (a) School Culture

We believe that a strong school culture is the essential foundation for an extraordinary learning environment. Positive school culture impacts all stakeholders, particularly students, by helping them feel connected to the objectives of the school and, thus, achieving to their highest potential.<sup>1</sup> Therefore, Zeta Schools NYC will devote significant attention to establishing a strong school culture at the proposed schools, both for its students, but also for families, teachers, and staff.

#### Vision of Zeta Graduate

Our school culture is framed around our vision of a Zeta graduate:

##### **STRONG MIND**

- Zeta grads learn for the love of it and out of boundless curiosity.
- Zeta grads are academically ready for the whirlwind and challenges of college and a demanding workforce so they can lead extraordinary lives of their own choosing.
- Zeta grads have the creativity and problem-solving skills and mindset necessary to be innovators and leaders in an ever-changing digital economy.

##### **STRONG BODY**

- Zeta grads practice healthy habits, engaging in regular vigorous exercise and making smart food choices so that their strong bodies enable their boldest dreams.

##### **STRONG SOUL**

- Zeta grads live mindfully in the present, with a deep sense of self, joy, wonder, and peace.
- Zeta grads live with audacity, integrity, and grace, not controlled by fear.
- Zeta grads take risks in anticipation of abundant life returns, accepting also disappointment and pain down this courageous path.
- Zeta grads dig deep and press on.

##### **STRONG CONNECTEDNESS**

- Zeta grads form profound connections with others, champion community and team, and bring a giving, collaborative spirit to every interaction.
- Zeta grads walk a mile in others' shoes and connect from that place.
- Zeta grads know their roots, live with gratitude, and give back in greater measure.

##### **BEAUTIFUL TOMORROW**

- Zeta grads stride confidently into the unknown, trusting their life experiences, capabilities, and openness to others to carry them on unexpected journeys that far exceed their highest expectations.

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<sup>1</sup> See Fatih Bektas et al., *School Culture and Academic Achievement of Students: A Meta-analysis Study*, *Anthropologist*, available at [https://www.researchgate.net/publication/292388808\\_School\\_Culture\\_and\\_Academic\\_Achievement\\_of\\_Students\\_A\\_Meta-analysis\\_Study](https://www.researchgate.net/publication/292388808_School_Culture_and_Academic_Achievement_of_Students_A_Meta-analysis_Study).

- Zeta grads engage in their life's work, fueled by their passions, talents, and sense of purpose larger than self.
- Zeta grads own their place as world citizens, leaders, innovators, and disruptors, and bring their power to bear for a better, more equitable world.

### **Core Values**

Our school culture, both for students and adults, is further developed to align with our Core Values:



### **Purpose-Driven**

- Do what's right for kids
- Create momentum for an extraordinary life
- Live with child-like love, joy, promise

### **Excellence**

- Go all in
- Raise the excellence bar
- Drive innovation
- Solve root causes
- Steward Zeta resources for greatest impact

### **Community**

- Deliver WOW through family service
- Invest in the power of team
- Teach each other to fish
- Build trust through openness and vulnerability
- Pursue diversity and inclusion

### **Clear and High Expectations**

At or before the beginning of the school year, school leaders and teachers meet with families and students and clearly describe expectations for student behavior and a safe,

orderly, and respectful school environment, including the Code of Conduct (see **Response 10b - Discipline Policy**). They explain the rationale for such expectations and give parents and students an opportunity to ask questions and deeply understand the expectations. These expectations are consistently applied and reinforced, with the rationale provided, throughout the year.

### **Mindfulness**

Zeta Schools NYC promotes an environment of mindfulness for students, staff, and families, including through the Compass social-emotional learning curriculum (see **Response 6(a) - Curriculum Selection Process**). Mindfulness fosters kindness and serves as the backdrop for a respectful school community. Mindfulness will further teach students the value of treating others in a manner they would want to be treated and to learn self-regulation. In particular, Compass circles will give students a platform to address negative feelings and conflicts in a respectful, safe setting with the support of faculty.

### **No Place for Violence, Threats, Bullying**

Students, staff, and families must be and feel safe at school. Violence, threats, unsafe conduct, and bullying will have no place at Zeta schools and will not be tolerated. School faculty and staff receive annual training on identifying, addressing, and preventing bullying.

### **Judicious Consequences and Restorative Practices**

The proposed schools will reinforce behavioral expectations in real time and give students an opportunity to self-correct and understand why such self-correction is necessary. The proposed schools will not shy away from addressing violent, threatening, or unsafe conduct endangering members of the school community, including through the judicious use of suspensions as one tool in the disciplinary toolkit.

However, the aim of the school's discipline program will be to reinforce mindful conduct and to encourage restorative practices. Zeta Schools NYC will implement aspects of restorative practice because such an approach helps students to increase empathy, accountability, and a sense of interconnection, to promote healing and restoration of relationships, and to advance social-emotional maturity and capacity for self-regulation and self-determination.

Accordingly, those involved in conflict, including the student(s) causing the harm and the student(s) who were harmed will be invited to develop a shared understanding of the root causes of the conflict and the effects. Offending students will have the opportunity to hear how their conduct affected other people, to take responsibility, and to repair the harm and restore relationships. Zeta will train staff in this approach, and the school will set aside time during, before, or after the school day as appropriate for the practice of this restorative approach. Additionally, staff will create mini-opportunities throughout the school day to promote mindfulness with respect to students' and adults' conduct and interactions, including the small conflicts that may arise throughout the day.

A restorative approach and a no-tolerance policy for violence, threats, unsafe conduct, and bullying are not mutually exclusive. Offenders must still take responsibility for and

bear the consequences of their conduct, while working to repair the harm and participating in a meaningful effort to restore relationships and pave the way for a better future path.

### **Staff Training and Modeling**

During the summer and throughout the year, Zeta Schools NYC staff will receive training in establishing and consistently reinforcing clear, high behavioral expectations; establishing a mindful school environment (starting with themselves); and setting and consistently adhering to productive school and classroom routines.

Staff will not only model appropriate behavior but constantly practice and promote a mindful approach to one's conduct and education. While staff will implement consistent classroom-wide behavioral incentive systems, they will foster students' intrinsic motivation to make good, respectful behavioral choices with the goal of students learning mindful self-regulation.

Please see **Response 10(b) – Discipline Policy** and **Response 10(c) – Special Education Discipline Policy** for additional details.

### **Dress Code Policy**

The proposed schools will implement a dress code policy because school uniforms promote a professional environment, remove outward signs of differences in socioeconomic status, reduce complexity for families getting children ready daily for school, and minimize learning distractions at school. Families who cannot afford the school uniform will be provided with financial assistance.

Please see **Response 10(d) – Dress Code Policy** for additional details and rationale.

### **Adult Culture**

Zeta's staff and faculty are essential to creating a strong culture at our schools, as adult attitudes are deeply intertwined with student experience and outcomes. We strive to foster a positive adult culture at our schools to improve student experiences, promote positive family experiences, limit staff attrition, and create a place where adults love coming to work.

As part of its commitment to staff culture, Zeta staff participate in mindfulness activities, including regular adult Compass circles on Wednesday afternoons as part of their professional learning. Adult Compass circles give staff the chance to reflect on their experiences, share challenges, address conflicts, and appreciate colleagues, all in a safe and supportive environment.

As further described in **Response 9(c) - Professional Development**, Zeta dedicates significant time and resources in ensuring that all staff receive substantial professional learning opportunities specific to their roles. Our professional learning program ensures that staff feel supported in the challenging work of schooling and are constantly growing in their abilities. Professional learning sessions also give staff opportunities to socialize with and interact with their colleagues, including colleagues from other Zeta Schools NYC schools, maintaining a sense of community and support.

Zeta encourages staff to provide real-time feedback on their experience and solicits input from staff to assess adult culture and satisfaction within our schools. We consider feedback and trends identified and make changes as needed to address any identified gaps or growth areas.

### **Family Involvement**

Zeta parents, families, and guardians are essential partners in cultivating and maintaining the schools' cultures. Forging lifelong learners requires close family partnerships, and Zeta will partner with families to ensure that they are recognized as valued participants in their students' education.

Zeta is committed to delivering WOW through family service. Zeta fosters family involvement through an open door policy, a one business day communication response policy, and involving families in STAR teams to engage with student progress, growth areas, and strategies for success. In order to ensure that students are able to fully benefit from their Zeta education, Zeta schools partner with families to ensure that students are in school every day, on time, in uniform, with homework completed. If families are struggling to uphold these expectations, Zeta teachers and leaders will engage with the families to make a plan to address challenges.

## 10. School Culture and Discipline

### (b) Discipline Policy

#### Zeta Code of Conduct

We care deeply about maintaining a school environment where students feel safe and learn at a high level without disruption. We expect Zeta students to learn to make good decisions, exercise strong judgment, and develop the ability to self-regulate, and it is our job as educators to support them as they develop these skills.

To this end, depending on the nature of the student conduct at issue, a response might be for the teacher to have a conversation with the student and/or parent/guardian, or it could be to engage the student in a reflective activity, aligned with our approach to restorative practices described in **Response 10(a) - Culture & Discipline**. Generally, we respond by taking stronger action when behavior is disruptive, disrespectful, and/or dangerous. However, such decisions are not made lightly. We consider many factors, including the child's age and behavioral history, among other appropriate factors. Whatever the response, we always seek to help the student understand the harm his or her actions caused, and how he or she may make better choices going forward. Consequences are imposed in the interest of teaching our students to learn from the situation.

The Zeta Code of Conduct applies to student behavior at all times. This includes when students are at school, on school grounds, participating in a school-sponsored activity, and on the way to or from school or a school-sponsored activity. Serious misconduct outside of the school may be considered a school disciplinary matter when the misconduct or the student's continued presence at the school has or would have a significant detrimental effect on the school and/or has created or would create a risk of substantial disruption to the work of the school.

#### **Level 1 Conduct**

Level 1 includes conduct that disrupts learning, functions as a detriment to the learning environment, or otherwise conflicts with Zeta's school model and mission. Level 1 Conduct includes:

- Not being engaged in learning or being off-task
- Not following directions
- Inappropriately calling out an answer
- Leaving one's seat without permission when instructed to remain in seat
- Not completing work or homework
- Being unprepared for class
- Not obtaining required signatures for assignments
- Arriving late to school/class and/or not following school attendance policy
- Not following the Dress Code (includes, but is not limited to, wearing clothes or other items that are unsafe or disruptive to the educational process)
- Engaging in minor disrespectful behavior
- Chewing gum or consuming candy while in school

- Using electronic equipment at school without school permission (includes, but is not limited to, cell phones, handheld electronic games, iPods, headphones)
- Bringing electronic equipment (defined above) to school after being instructed not to
- Using school equipment (e.g., computers, tablets, phones) without permission
- Making disruptive noise in the hallways, in the auditorium, or any general building space without permission
- Engaging in inappropriate noise levels in lunchroom, gym, or during arrival or dismissal
- Excluding classmates in games/activities or during recess
- Littering on school grounds

### **Range of School Responses, Interventions, and Consequences for Level 1 Conduct**

- Student is reminded of appropriate behavior and task at hand and the reason for it
- Student is reminded of what he/she is like at his/her best and of past good behavior
- Student is reminded of past poor decisions and provided with productive alternatives/choices that should be made
- Student is guided through an activity designed to help him or her reflect on his/her behavior and learn how to behave differently in the future
- Student is given a warning or reprimand (warnings may be verbal or non-verbal)
- Call home to parent/guardian by teacher

### **Level 2 Conduct**

Level 2 includes disrespect to others and conduct that threatens student safety. Level 2 Conduct includes:

- Continuing Level 1 Conduct after intervention
- Disrespecting a fellow student (includes, but is not limited to, teasing, name calling, being rude, mocking, deliberately excluding, using disrespectful gestures)
- Disrespecting faculty, staff, or other school community members (includes, but is not limited to, being rude, intentionally not following instructions)
- Leaving the classroom without permission or at undesignated times
- Going to an area within the school building (e.g., other classrooms, bathrooms, main office, stairwells) without permission or at undesignated times
- Disrupting and/or not following instructions during a building safety situation (drill or actual)
- Engaging in unsafe behavior (includes, but is not limited to, unwanted or inappropriate physical contact with another or physical dysregulation that could result in injury or harm to another person, even if unintentional)
- Not using recess or field trip equipment properly, or failing to follow directions during recess or field trips

### **Range of School Responses, Interventions, and Consequences for Level 2 Conduct**

- Level 1 Responses, Interventions, and Consequences
- Call home to parent/guardian by teacher or school administrator
- Conference involving student, parent/guardian, teacher, and/or school administrator

- Additional assignments that require student to reflect on behavior in writing or verbally (depending on grade and situation)
- Non-participation in school activity (includes, but is not limited to, enrichment or extracurricular activities, sports, school events, or trips)
- Verbal or written apology to member(s) of community
- Placement in buddy classroom (a different grade-appropriate classroom in the school)
- Other consequences/responses deemed appropriate by school

### **Level 3 Conduct**

Level 3 includes conduct that causes harm to the person or property of others, threatens the physical or emotional safety or wellbeing of others, or compromises integrity. Level 3 Conduct includes:

- Continuing Level 2 Conduct after intervention
- Seriously disrespecting a fellow student, faculty, staff, or other school community member (e.g., using profanity, making racial slurs, or using any foul, discriminatory, or inappropriate language or gestures)
- Using profane, obscene, lewd, abusive, or discriminatory language or gestures in any context (includes, but is not limited to, slurs based on race, ethnicity, color, national origin, religion, gender, sexual orientation, or disability)
- Defying school staff or any school authority/personnel
- Leaving the classroom, school premises (including the recess area), field trip without permission or at undesignated times
- Posting or distributing inappropriate materials (includes, but is not limited to, unauthorized materials, defamatory or libelous materials, or threatening materials)
- Violating the school's technology and social media rules
- Lying or providing false or misleading information to school personnel
- Engaging in academic dishonesty (includes, but is not limited to, cheating, plagiarizing, copying another's work, or colluding/fraudulent collaboration)
- Tampering with school records, documents, or materials; forgery
- Making threats of any kind
- Claiming to possess a weapon
- Vandalizing or misusing school property or property belonging to any member of the school community (includes, but is not limited to, writing on desks, writing on school books, or damaging property)
- Stealing or knowingly possessing property belonging to another person without proper authorization
- Throwing, slamming, or pushing classroom materials, doors, furniture, or other objects
- Engaging in inappropriate or unwanted physical contact
- Fighting or engaging in physically aggressive behavior of any kind (includes, but is not limited to, play fighting, horsing around, shoving, pushing, or any unwanted or aggressive physical contact)
- Leaving class, school-related activity, or school premises without school authorization
- Repeatedly not attending class, school, or any school activity or event and/or repeatedly not following school attendance policy

### **Range of School Responses, Interventions, and Consequences for Level 3 Conduct**

- Level 1-2 Responses, Interventions, and Consequences
- Conference involving student, parent/guardian, teacher, and/or school administrator
- Loss of classroom, school, trip, activity, and/or event privileges
- Non-participation in school activity (includes, but is not limited to, communal lunch, enrichment or extracurricular activities, sports, school events, or trips)
- Staying after school, coming before school, or coming in on a day when school is not in session (e.g., Saturday or vacation day)
- Suspension
- Other consequences/responses deemed appropriate by school

### **Level 4 Conduct**

Level 4 includes conduct that is violent, highly dangerous, or poses a serious threat to the safety of the Zeta community. Level 4 Conduct includes:

- Continuing Level 3 Conduct after intervention
- Repeated in-school disciplinary actions and/or suspensions
- Exhibiting blatant and repeated disrespect for the Zeta Code of Conduct, policies, community, or culture
- Engaging in gang-related behavior (includes, but is not limited to, wearing gang apparel, making gestures or signs)
- Destroying or attempting to destroy school property or property belonging to any member of the school community
- Starting or attempting to start a fire
- Falsely activating a fire alarm or other disaster alarm
- Threatening the school community in any way
- Engaging in behavior that creates a substantial risk of or results in injury/assault against any member of the school community
- Engaging in sexual, racial, or any other type of harassment
- Gambling
- Possessing, selling/sharing, or using alcohol, tobacco, or illegal or controlled substance
- Participating in an incident of group violence
- Possessing a weapon or other potentially dangerous item(s)
- Being charged with or convicted of a felony

### **Range of School Responses, Interventions, & Consequences for Level 4 Conduct**

- Level 1-3 Responses, Interventions, and Consequences
- Conference involving student, parent/guardian, teacher, and/or school administrator
- Loss of classroom, school, trip, activity, and/or event privileges
- Non-participation in school activity (includes, but is not limited to, communal lunch, enrichment or extracurricular activities, sports, school events, or trips)
- Staying after school, coming before school, or coming in on a day when school is not in session (e.g., Saturday or vacation day)
- Suspension

- Expulsion
- Other consequences/responses deemed appropriate by school

**Please keep in mind that the list of Conduct and Consequences included in the Zeta Code of Conduct is not exhaustive.** School leaders and teachers can supplement the Zeta Code of Conduct with additional rules as appropriate. In addition, consequences for violations of the Zeta Code of Conduct are subject to the discretion of school leadership and may be supplemented and/or adjusted accordingly in keeping with the spirit of Zeta Schools' aim to preserve school safety and culture. A student's prior conduct and his/her disciplinary history may be factors in determining the appropriate consequence for misconduct. Additionally, the Zeta Code of Conduct may be updated and adjusted as Zeta deems appropriate.

### **Additional Information**

In cases of disciplinary consequences, minimum due process required under federal law will be afforded to all students. Students will be informed of their behavior that violated the Code of Conduct and asked for their version of events. The Managing Director of School/Principal or other school staff member will consider this explanation prior to taking disciplinary action. Parents should be notified before or within a reasonable amount of time after the imposition of such consequence.

A short-term suspension refers to the removal of a student from the school for disciplinary reasons for a period of five days or fewer. If necessary, the student will be immediately removed from the class or school. A member of the school leadership team will immediately inform the parents or guardian in writing of the behavior that violated the Code of Conduct. Written notice shall be provided by personal delivery, email, express mail delivery, or equivalent means reasonably calculated to assure receipt of such notice within 24 hours of the suspension at the last known address of the parents/guardians. Where possible, notification will also be given by phone. The notice will provide a description of the incident(s) that led to the suspension and will offer the opportunity for an immediate informal conference with a member of the school leadership team. Such notice and informal conference shall be in the dominant language or mode of communication used by parents/guardian. The student's family has the right to appeal within 10 business days (not calendar or school days) of the date of suspension in accordance with the Zeta Schools NYC's complaint process.

A long-term suspension refers to the removal of a student for disciplinary reasons for a period of more than five days. Expulsion refers to the permanent removal of a student from school for disciplinary reasons. A long-term suspension/expulsion may be imposed only after the student has been deemed culpable at a long-term suspension hearing, subject to instances where the student may be immediately removed from the class/school, as described below. If a long-term suspension or expulsion is proposed, a member of the school leadership team will immediately inform the parents or guardian in writing of the behavior that violated the Code of Conduct. A date, time, and place for the hearing and the notice of the right to be represented by counsel, question witnesses, and present evidence and witnesses will also be communicated. Written notice shall be provided by personal delivery, e-mail, express mail delivery, or equivalent means reasonably calculated to assure receipt of such notice within 24 hours of the suspension at the last known address of the parents/guardians. Where possible, notification also will be given by phone. The notice will provide a description of the incident(s) that led to the suspension/expulsion and will offer the opportunity for an immediate informal conference with a

member of the school leadership team. Such notices and informal conference shall be in the dominant language or mode of communication used by parents/guardian.

The Managing Director of School/Principal, or a Managing Director/Principal of another Zeta school or a senior manager employed by the charter management organization that Zeta Schools NYC has contracted with designated by the Managing Director of School/Principal, (the "Presiding Member") will call and preside over a formal, long-term suspension or expulsion hearing. At the hearing, the student shall have the right to be represented by counsel, question witnesses, and present evidence and witnesses. A decision by the Presiding Member will stand as the final decision regarding the student's long-term suspension or expulsion status. A student may also be subject to any of the disciplinary measures outlined elsewhere in this document, including a referral to the appropriate law enforcement authorities. The Presiding Member may decide that the student's conduct warrants expulsion. If this is the case, the Presiding Member shall forward the decision to the Board of Trustees. The Board of Trustees will be informed of any/all expulsions prior to or within a reasonable timeframe after the expulsion decision. The student's family has the right to appeal within 10 business days (not calendar or school days) of the date of suspension/expulsion in accordance with the charter school's complaint process.

As noted above, the school may (particularly where safety is at issue) immediately remove a student from class/school and impose a short-term suspension while considering the appropriateness of a long-term suspension and/or expulsion. In such instances, a member of the school leadership team will immediately notify the parents or guardian that the school is imposing a short-term suspension with the possibility of extension to a long-term suspension and/or expulsion. The long-term suspension and/or expulsion may be noticed separately to parents within 24 hours of the incident. The school will then follow the procedures outlined above for a formal long-term suspension/expulsion hearing. In the event that a short-term suspension is followed by a long-term suspension, the number of days the student has been removed from school as a result of the short-term suspension shall be counted toward the number of days imposed by a long-term suspension.

Federal and state law require the expulsion from school for a period of not less than one year of a student who is determined to have brought a firearm to the school, or to have possessed a firearm at school, except that the Managing Director of School/Principal may modify such expulsion requirement for a student on a case-by-case basis, if such modification is in writing, in accordance with the federal Gun-Free Schools Act, 20 U.S.C. § 7151. "Weapon", as used in this law, means a "firearm," as defined by 18 U.S.C. § 921, and includes firearms and explosives. The Managing Director of School/Principal shall refer a student under the age of sixteen who has been determined to have brought a weapon or firearm to school to a presentment agency for a juvenile delinquency proceeding consistent with Article 3 of the Family Court Act.

Students who are suspended will be provided with alternative instruction as per Education Law § 3214, and notice thereof will be provided in suspension letters. Arrangements will be made between the school and each individual family on a case-by-case basis. In cases of suspension, alternative instruction by qualified staff will be offered within 24 hours of any suspension. Such instruction can be at a location and time of the school's choosing, so long as each is reasonable and the student has notice of it. The school can choose to provide alternative instruction to a suspended student at the school, the student's home, or some other reasonably accessible location, either during the school day or before or after school hours. Alternative instruction means actual instruction as opposed to simply giving homework or

assigning self-study. The quality of the instruction will be designed to allow the student to keep pace with schoolwork, receive all assignments, tests, quizzes, etc., and generally advance with the curriculum.

## **10. School Culture and Discipline**

### **(c) Special Education Discipline Policy**

The proposed schools' approach to discipline for special education students will comply with the Individuals with Disabilities Education Act ("IDEA") and all applicable laws and regulations.<sup>1</sup>

When a student with a disability is struggling behaviorally, the proposed schools will work with its Committee on Special Education ("CSE") to determine whether additional services and accommodations are needed to support the student. As part of this process, and as appropriate, a Functional Behavior Assessment ("FBA") may be conducted, and a Behavior Intervention Plan ("BIP") may be developed in order to provide additional behavioral supports during the school day.

Teachers and members of the school's special education staff will provide input in the process of developing BIPs. All teachers and staff involved in working with a student who has a BIP will receive a copy of the BIP, be informed of their responsibilities for implementation, and be held accountable for consistent implementation. The school's special education associate will oversee the BIP implementation, as well as any changes to the BIP. School leaders will be responsible for ensuring that BIPs are followed and implemented consistently.

If a student's IEP includes a BIP but the BIP appears not to be effective, or if there is a concern for the health and safety of the student or others if the BIP were followed with respect to the behavior, the matter will be immediately referred to the appropriate CSE for consideration of a change in the BIP.

If discipline that would constitute a change in placement is contemplated for any student (including a suspension for 10 or more consecutive school days or a suspension that would cause the child to be removed from the current placement for more than 10 school days in the same year), the following steps will be taken:

- Not later than the date on which the decision to take such action is made, the parents of the student with a disability shall be notified of that decision and provided the procedural safeguards notice described in 34 CFR § 300.504; and
- Immediately, if possible, but no later than 10 school days after the date on which such decision is made, the CSE and other qualified personnel will be expected to meet and review the relationship between the child's disability and behavior subject to the disciplinary action.

If, upon review, it is determined that a student's behavior was not a manifestation of his or her disability, then the child may be disciplined in the same manner as a child without a disability, except as provided in 34 CFR § 300.530(c), which relates to the provision of services to students with disabilities during periods of removal.

If the IEP team determines that the suspendable behavior was a manifestation of the

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<sup>1</sup> The approach and policies described in this section for students with disabilities shall also all to any student for whom the proposed schools are deemed to have knowledge that such student may be a student with a disability pursuant to 34 CFR § 300.534.

student's disability, if the student undergoes a disciplinary change in placement for more than 10 consecutive school days, or if the student is removed for drug or weapon offenses or due to the infliction of serious bodily injury, the school will work with the CSE to ensure that an FBA is conducted and, if necessary, a BIP is put into place, or to review the existing FBA or BIP and make any necessary modifications. The school will also ensure that the family is provided with a copy of the procedural safeguards notice.

A student with a disability who is removed for a period of 10 school days or less will receive all classroom assignments during the time of his or her suspension. Provisions will be made to permit a suspended student to make up assignments or tests missed as a result of such suspension. The school shall also provide alternative instruction with reasonable promptness and by appropriate means to assist the student, so that the student is given full opportunity to complete assignments and master the curriculum.

During a subsequent removal that, combined with previous removals, equals more than 10 school days during the school year, but does not constitute a change in placement, services must be provided to the extent determined necessary to enable the child to appropriately progress in the general curriculum and in achieving the goals of his or her IEP. In these cases, school personnel, in consultation with the child's special education teacher, will make the service determination.

During any subsequent removal that constitutes a change in placement, but where the behavior is not a manifestation of the disability, the services must be provided to the extent necessary to enable the student to appropriately progress in the general curriculum and in achieving the goals of his or her IEP. The CSE will be expected to make the service determination.

During any removal for drug or weapon offenses or infliction of serious bodily injury (pursuant to 34 CFR § 300.530(g)), services will be provided to the extent necessary to enable the child to appropriately progress in the general curriculum and in achieving the goals of his or her IEP. These service determinations will be made by the appropriate CSE. As appropriate in accordance with 34 CFR § 300.530(g) and applicable due process procedures, the school may place students in interim alternative educational settings. Parents may request a hearing to challenge a manifestation determination or placement in interim alternative educational setting. Except as provided below, the child will remain in his or her current educational placement pending the determination of the hearing.

If a parent requests a hearing or an appeal to challenge the interim alternative education setting or the manifestation determination resulting from a disciplinary action relating to weapons, drugs, or an incident whereby a student has inflicted serious bodily injury upon another person, the child shall remain in the interim alternative educational setting pending the decision of the hearing officer or until the expiration of the time period provided for in the disciplinary action, whichever occurs first, unless the parent and school agree otherwise.

The proposed schools will construe the federal Gun-Free Schools Act, as described in **Response 10(b) - Discipline Policy**, in accordance with the IDEA.

## **10. School Culture and Discipline**

### **(d) Dress Code Policy**

The schools will require students to wear school uniforms when at school and on most school-sponsored trips. School uniforms are an important aspect of Zeta culture because they promote a professional environment, remove outward signs of differences in socioeconomic status, reduce complexity for families getting children ready daily for school, and minimize learning distractions at school. Accordingly, students are expected to wear their uniforms every day, unless the school is holding a special celebration that calls for students to dress differently. Uniforms enable students to focus on learning by reducing distractions in school, make it easier for students to get ready every day for school, are usually less expensive than having to buy non-uniform clothing over the course of a school year, and reduce the occurrence of class distinctions based on clothing. Uniforms must be clean, fit appropriately, and look presentable.

The Dress Code Policy will be clearly communicated to families. Students who do not follow the Dress Code Policy will be addressed in accordance with the school's Code of Conduct. Students out of uniform will be addressed by school staff, and school staff will also communicate and/or meet with parents regarding Dress Code expectations for students.

Zeta Schools NYC's school uniform consists of:

- Blue short- and long-sleeved polos with logo
- Purple short- and long-sleeved polos with logo
- Heather grey cardigan with logo
- Khaki pants (girls and boys)
- Khaki skirt (girls)
- Backpack with logo
- Grey crew socks (girls and boys)
- White or grey tights or knee-high socks (girls)
- All-black or all-grey non-flashy shoes with good traction and no shoelaces

Students may also be required to wear a uniform for physical education and/or school sports activities. This uniform will include a logo t-shirt, logo jacket, logo shorts, and/or logo sweatpants.

The schools will make an exception to the Dress Code Policy for minor items such as head covers that are worn in conjunction with the exercise of a religious practice.

Families who cannot afford the school uniform will be provided with financial assistance. No student will be denied access to school because of an inability to purchase the school uniform. Families will be notified of the availability of financial assistance as part of the enrollment process.

## 11. School Management and Leadership

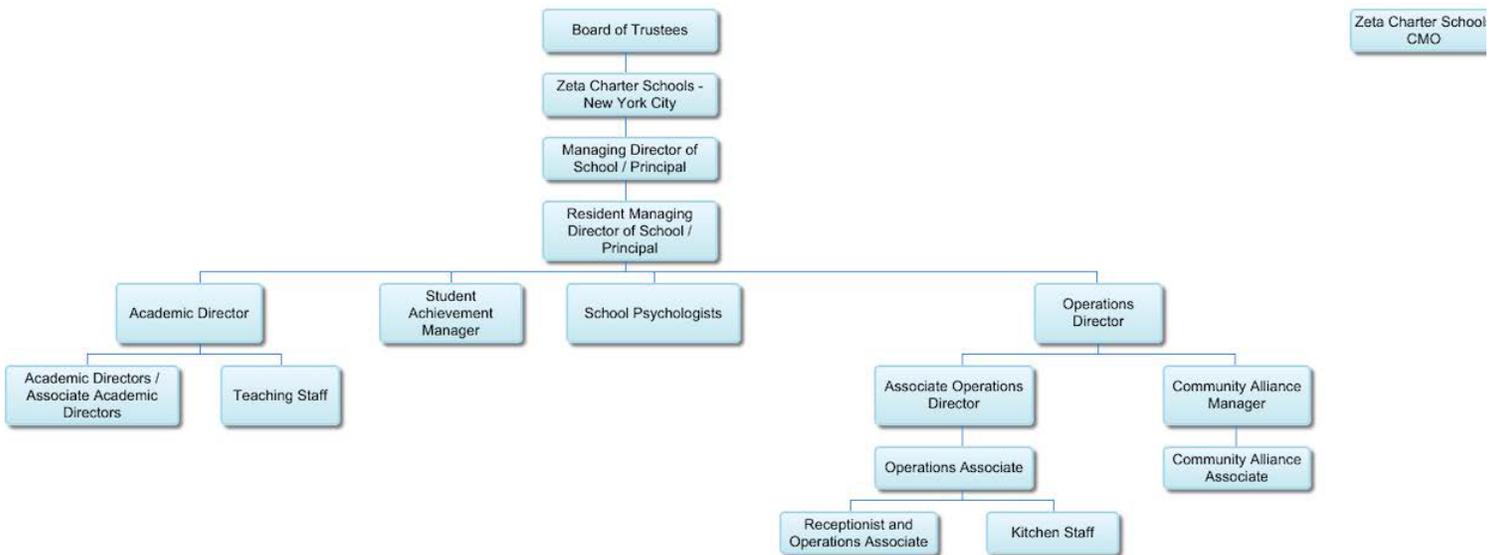
### (a) Organizational Chart

#### Anticipated First Year Organizational Chart for Proposed Schools\*



\*In June 2018, Zeta Charter Schools - NYC and Zeta CMO entered into an academic and business services agreement. The two entities have a contractual relationship that is described in detail in the executed Academic and Business Services Agreement, which is included in full in the **Business Plan** submitted with this application.

#### Anticipated Fifth Year Organizational Chart for Proposed Schools\*



\*In June 2018, Zeta and Zeta CMO entered into an academic and business services agreement. The two entities have a contractual relationship that is described in detail in the executed Academic and Business Services Agreement, which is included in full in the **Business Plan** submitted with this application.

## **(b) School Leadership and Management Structure**

### **Reporting Lines and Accountability**

Each proposed elementary school will have a Managing Director of School (“MD”) or Principal, who will serve as the head of each such school. During the first year of the schools’ operation, each MD/Principal is expected to have four direct reporting lines: an Academic Director (“AD”), an Operations Director (“OD”), a School Psychologist, and a Student Achievement Associate/Manager. The AD is expected to have direct reporting lines to the teaching staff. The OD is expected to have two direct reporting lines, the Community Alliance Associate and the Operations Associate. Each MD/Principal will oversee the AD and OD as they evaluate the performance of, and make staffing decisions for, the school instructional staff and school operations staff, respectively.

Each MD/Principal will report into the Board of Trustees and the Managing Director of Academics (a Zeta CMO employee) and will be responsible for implementing and achieving the mission, goals, priorities, policies, and procedures set by the Board of Trustees. Each MD/Principal will also be responsible for school and academic excellence, implementing a data- and process-driven schooling approach, ensuring a strong school culture, implementing high-level management, overseeing the school’s budget and finances, and other management functions. The MD/Principal will provide leadership and direction to all school staff members; oversee hiring, evaluation, and termination of staff members; oversee scheduling and enrollment; make formal reports to the Board of Trustees and the charter entity; oversee the delivery of services to students requiring special education and English Language Learner (“ELL”) services; provide a safe learning environment; oversee parent relations and communications; and set academic and fiscal priorities.

Each Academic Director (“AD”) will report into the MD/Principal for the school and will be responsible for instructional leadership and overseeing all instructional matters, including but not limited to excellent student outcomes, teacher training, curricula, academic data analysis, serving advanced and struggling students to make sure they are challenged and continue to grow through a robust RTI process, and testing. The AD will oversee the teaching staff and will contribute to evaluating and making hiring, promotion, and termination decisions with respect to such staff.

Each OD will report into the MD/Principal who leads the school and will be responsible for operations leadership and overseeing all non-instructional operational matters, including but not limited to excellent school operations, administrative matters, facilities, communications, enrollment, student records management, logistics, technology, budget/financial matters, contracts, and school safety and health matters. All school operations staff (*i.e.*, for the 2020 school year, the Community Alliance Associate and the Operations Associate) will report into the school’s OD.

Each of the proposed schools is expected to have the same organizational structure. This organizational structure was selected to bring strong management experience to the school level in the role of the MD/Principal, and to allow strong academic leaders to focus entirely on academics and student achievement while strong operations staff focus entirely on ensuring smooth school operations. We do note, however, that each of the above organizational charts and the above school leadership and management narrative

is subject to change based on a variety of factors, including specific school needs and organizational efficiencies.

Zeta CMO and Zeta Schools NYC work closely as partners to deliver world-class educational experiences to Zeta students. The MD/Principal of each school (a Zeta employee) works closely with the Managing Director of Academics (a Zeta CMO employee) and the Chief Executive Officer of Zeta CMO to execute the shared vision of excellence in schooling. This organizational design was implemented intentionally in order to provide the schools with the additional support, resources, and expertise of Zeta CMO and its staff. Zeta CMO manages schools closely and believes that a hands-on approach is required to deliver high-quality, transformative education. Employees of Zeta CMO are at the schools every day — observing educational practices, coaching and providing feedback to teachers, and taking time to tutor students in small group settings. This level of involvement at school by the Zeta CMO team enables the team to identify best practices and areas for improvement. Ultimately, however, the MD/Principal of each school is accountable to the Board of Trustees, and the Board of Trustees is responsible for setting priorities and making key organizational decisions.

### **Annual Goals and Priorities / Decision-making / Evaluation Procedures**

Prior to the beginning of fiscal year 2020-2021, each of the school leadership teams, with the support of Zeta CMO leadership, will determine annual goals and priorities for the upcoming fiscal year. These annual goals will, to the extent practicable, be SMART (Specific, Measurable, Attainable, Relevant, and Timely) goals and will address each of the following areas: student academic performance, school culture (student, family, staff), operations and administration, training, management/leadership, innovation/efficiency, and/or others. The annual goals will establish the priorities for the year and be reviewed by the Board of Trustees. The Board of Trustees will hold Zeta CMO and each of the schools accountable to the annual goals.

Key organizational decisions will be informed by, and consistent with, the annual goals and will be made by the MDs/Principals in consultation with Zeta CMO leadership. Changes to the annual goals and priorities may be made in discussion with Zeta CMO leadership and the MDs/Principals.

MDs/Principals will, in discussion with or review by Zeta CMO leadership, develop individual annual goals based on the overarching annual goals and priorities for the year. Their individual goals will be designed to support the achievement of the annual goals and will also include professional growth goals focused on increasing management/leadership capacity; 360-degree, big-picture thinking; innovative, outside-the-box thinking; and professional growth. The MDs/Principals will be evaluated annually against these goals and will be evaluated regularly against progress toward these goals.

The MDs/Principals and ODs will work with their respective staff so that each person develops individual annual goals aligned with the school achieving the overarching annual goals, as well as professional growth and leadership goals. Staff will be evaluated by their managers against these goals.

### **Recruitment Plans for MD/Principal**

Zeta CMO and the Board of Trustees will be involved in the selection process of the MDs/Principals, with the Chief Executive Officer and the Managing Director of Academics selecting candidates and presenting their candidates to the Board of Trustees. The MDs/Principals for the two proposed schools have not yet been selected. We will review resumes sourced through various methods, including major and niche job board websites, educational career fairs, and third-party recruitment firms. We will also review staff of existing Zeta schools to identify any potential internal candidates. For candidates whose resumes are selected, we will request and review instructional data if applicable. The next step in our selection process will typically involve a phone or videoconference screening interview. Candidates who move forward will be invited to an in-person interview. Candidates who advance will have additional in-person interviews with Zeta CMO leadership and/or members of the Board of Trustees. Candidates may also be interviewed by leaders of existing Zeta Schools NYC schools. Candidates will also undergo a series of interview tasks that may include teaching a demonstration lesson, during which they receive feedback they are expected to implement in real time, and they may be asked to perform sample tasks such as teacher evaluations and lesson critiques (observing a live lesson or a lesson on video). Any stage of the interview may be part of a group interview process. We may also visit the candidate's current school for further observation and to understand what type of learning environment the candidate has created, if applicable and appropriate. If the candidate and a proposed school choose to move forward, all references are checked, and MD/Principal candidates are submitted to the Board of Trustees for final approval. After obtaining the approval of the Board of Trustees, the offer will be extended to the selected candidate.

#### Selection Criteria for MD/Principal

The selection criteria for school leadership will include, but are not limited to, the following:

- Extensive experience and success at a high-performing education organization;
- Extensive experience hiring and successfully managing employees in a high-performance organization;
- Strong fit with and dedication to Zeta's mission and goals;
- Ability to establish and maintain a strong organizational culture based on core organizational values;
- Demonstrated commitment to academic excellence;
- Belief in the ability of all children to meet or exceed grade-level proficiency standards;
- Expertise and leadership experience in elementary education within an urban setting;
- Ability to quantify their success and leadership ability with a history of measurable results;
- High standards for themselves, their staff, and their students—commitment to personal and professional excellence;
- Commitment to data- and process-driven instruction and schooling;
- High level of organization and resourcefulness, can-do mindset;
- Strong ability to multi-task and set and adhere to priorities effectively;
- Exemplary oral, written, and analytic skills;
- Strong interpersonal skills and the ability to thrive in a collaborative environment;
- College degree or advanced degree; and/or
- Recommendations from prior employers, colleagues, and employees

## 12. Personnel

### a) Staffing Chart and Rationale

Please see below table listing all instructional and non-instructional staff positions during the first five years of operation at each proposed school.

ADMINISTRATIVE PERSONNEL FTE	FTE					Description of Assumptions
	Y1	Y2	Y3	Y4	Y5	
Executive Management	0.0	0.0	0.0	0.0	0.0	
Instructional Management	1.0	1.5	1.5	1.5	1.5	Y1: (1) Principal. Y2: (1) Principal, (.5) Resident Principal. Y3: (1) Principal, (.5) Resident Principal. Y4: (1) Principal, (.5) Resident Principal. Y5: (1) Principal, (.5) Resident Principal.
Deans, Directors & Coordinators	1.0	1.0	2.0	3.0	3.0	Y1-2: (1) Academic Director. Y3: (2) Academic Directors. Y4-5: (3) Academic Directors.
CFO / Director of Finance	0.0	0.0	0.0	0.0	0.0	
Operation / Business Manager	1.0	1.0	2.0	2.0	2.0	Y1-2: (1) Operations Director. Y3-4: (1) Operations Director, (1) Operations Manager. Y5: (1) Operations Director, (1) Associate Operations Director.
Administrative Staff	3.0	3.0	3.0	4.0	5.0	Y1-2: (1) Operations Associate, (1) Community Alliance Associate, (1) Student Achievement Associate. Y3: (1) Operations Associate, (1) Community Alliance Manager, (1) Student Achievement Manager. Y4: (1) Operations Associate, (1) Community Alliance Manager, (1) Student Achievement Manager, (1) Receptionist & Operations Associate. Y5: (1) Operations Associate, (1) Community Alliance Manager, (1) Community Alliance Associate, (1) Student Achievement Manager, (1) Receptionist & Operations Associate.
TOTAL ADMINISTRATIVE STAFF	6.0	6.5	8.5	10.5	11.5	
<b>INSTRUCTIONAL PERSONNEL FTE</b>						
Teachers - Regular	6.0	8.0	12.0	15.0	18.0	Y1: (6) Head Teachers. Y2: (8) Head Teachers. Y3: (12) Head Teachers. Y4: (15) Head Teachers. Y5: (18) Head Teachers.
Teachers - SPED	3.0	4.0	5.0	6.0	7.0	Y1: (2) ICT Teachers, (1) SETTS Teacher. Y2: (3) ICT Teachers, (1) SETTS Teacher. Y3: (4) ICT Teachers, (1) SETTS Teacher. Y4: (5) ICT Teachers, (1) SETTS Teacher. Y5: (6) ICT Teachers, (1) SETTS Teacher.
Substitute Teachers	0.0	0.0	0.0	0.0	0.0	

Teaching Assistants	3.0	4.0	6.0	9.0	10.0	Y1: (3) Resident Teachers. Y2: (4) Resident Teachers. Y3: (6) Resident Teachers. Y4: (9) Resident Teachers. Y5: (10) Resident Teachers.
Specialty Teachers	3.5	4.0	5.0	7.5	9.0	Y1: (1) Science Teacher, (2.5) Specialist Teachers. Y2: (1.5) Science Teachers, (2.5) Specialist Teachers. Y3: (2) Science Teachers, (3) Specialist Teachers. Y4: (2.5) Science Teachers, (4) Specialist Teachers, (1) Z Lab Teacher. Y5: (3) Science Teachers, (5) Specialist Teachers, (1) Z Lab Teacher.
Aides	0.0	0.0	0.0	0.0	0.0	
Therapists & Counselors	1.0	1.0	2.0	2.0	3.0	Y1-2: (1) School Psychologist. Y3-4: (2) School Psychologists. Y5: (3) School Psychologists.
Other	1.0	1.5	3.1	5.0	6.7	Grade Team Stipends & 5% Bonus. Not Staff FTE
TOTAL INSTRUCTIONAL	17.5	22.5	33.1	44.5	53.7	
<b>NON-INSTRUCTIONAL PERSONNEL FTE</b>						
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	
Security	0.0	0.0	0.0	0.0	0.0	
Other	0.0	0.0	0.5	1.3	1.3	Y3: (.5) Kitchen Staff. Y4-5: (1.25) Kitchen Staff.
TOTAL NON-INSTRUCTIONAL	0.0	0.0	0.5	1.3	1.3	
<b>TOTAL PERSONNEL SERVICE FTE</b>	23.5	29.0	42.1	56.3	66.5	

The above numbers are based on expected enrollment, necessary school leadership and support personnel to manage and operate each proposed school, and desired teacher-to-student ratios at each proposed school. This staffing structure and the number of staff has been demonstrated to be the optimal structure and number of staff at other high-performing charter schools, while operating leanly so as to maximize resources.

**b) Qualifications and Responsibilities**

**Responsibilities**

The following summaries provide an overview of the key qualifications for each proposed schools’ instructional and administrative staff.

- The **Managing Director of School/Principal** will serve as the head of the school and will be responsible for implementing and achieving the mission, goals, priorities, policies, and procedures set by the Board of Trustees and Zeta CMO

leadership. The MD/Principal will also be responsible for school and academic excellence, implementing a data- and process-driven schooling approach, ensuring a strong school culture, implementing high-level management, overseeing the school's budget and finances, and other management functions. This individual will provide leadership and direction to all school staff members; hire, evaluate, and terminate staff members; oversee scheduling and enrollment; make formal reports to his/her supervisor, the Board of Trustees, and the charter entity; oversee the delivery of services to students requiring special education and English Language Learner ("ELL") services; provide a safe learning environment; oversee parent relations and communications; and set academic and fiscal priorities. The MD/Principal will be responsible for per pupil aid billings and reconciliations with the district (and may delegate some of these responsibilities to the Operations Director), supported by Zeta CMO's financial team and external retained financial consultants as necessary and appropriate. See **Response 11(b) School Leadership and Management Structure** for more details on the MD/Principal's required qualifications and responsibilities.

- **Academic Staff Responsibilities**

- The **Academic Director** will be responsible for instructional leadership and overseeing all instructional matters, including, but not limited to, excellent student outcomes, instructional management planning and implementation, teacher training, curricula, academic data analysis, and testing, and the academic outcomes of students with special need, ELLs, and struggling students, as well as advanced students. This individual will ensure the highest levels of teaching and learning occur consistently throughout the school; hire, evaluate, and terminate academic staff; understand and turnkey curriculum; create schedules; ensure the proper use of student data to drive and improve instruction; facilitate parent involvement; manage the delivery of services to students requiring special education and English Language Learners ("ELLs"); monitor and improve the quality of all components of the curriculum, including literacy, mathematics, science, social studies, arts, chess, physical education, and others; train and mentor academic staff; raise and train potential leaders; and provide effective guidance, support, and feedback to teachers to improve instruction.
- The **Associate Academic Director** is a position that will be added by the third year of operation of the proposed schools, given school growth. This individual will support the Academic Director and also serve as an academic leader and coach for teaching staff. This individual will be responsible for excellent student outcomes, with a particular focus on teacher coaching, curricula, academic data analysis, testing, and managing the tutoring program for students academically behind their peers, as well as the accelerated learning program for advanced students, in addition to any other duties deemed appropriate by the Academic Director or Managing Director/Principal.
- **Head Teachers** are responsible for a class of students. They will maintain and enrich their expertise in the subject area(s) they teach; master the curriculum and school culture; develop lesson plans that ensure students' attainment of grade-level Next Generation learning

standards and are aligned with the school's curriculum; coordinate lesson plans with other teachers to reinforce student knowledge on an interdisciplinary basis; provide instruction (full-class, small group, individual); create long-term and short-term plans to meet individual student needs; execute small group instruction for advanced students or students who struggle, prepare students for all required assessments; evaluate student progress; analyze and use data effectively to drive and improve instruction and student learning; provide an inviting, exciting, innovative learning environment; engage in effective and appropriate classroom management; serve as advisors to students; implement students' Individualized Education Programs ("IEPs") if applicable; ensure students with disabilities, ELLs, and advanced students are served at the highest levels; and perform other duties as deemed appropriate by the Academic Director or Managing Director/Principal.

- **Resident Teachers** are Head Teachers in training. Their role is to support the Head Teacher in teaching a class of students and to learn and master effective teaching practices. They may engage in all of the same activities as Head Teachers, and may also be responsible for small group instruction; tutoring; assessments; homework; monitoring of students in the cafeteria, play yard, and hallways; administrative duties to support the Head Teacher and classroom; and/or other duties as deemed appropriate by the Head Teacher, Academic Director, or Managing Director/Principal.
- **Specialty Teachers** teach science, social studies, physical education, chess, music, the arts, etc. Specialty Teachers also include special education teachers, such as Integrated Co-Teaching ("ICT"), 12:1:1, and Special Education Teacher Support Services ("SETSS") teachers. They will maintain and enrich their expertise in the subject area(s) they teach; develop lesson plans that ensure students' attainment of grade-level learning standards and aligned with the school's curriculum; coordinate lesson plans with other teachers to reinforce student knowledge on an interdisciplinary basis; provide specialized instruction (full-class, small group, individual); create long-term and short-term plans to meet individual student needs; prepare students for all required assessments; evaluate student progress; analyze and use data effectively to improve instruction and student learning; provide an inviting, exciting, innovative learning environment; engage in effective and appropriate classroom management; serve as advisors to students; implement students' IEPs if applicable; ensure students with IEPs, ELLs, and advanced students are served at the highest levels; and perform other duties as deemed appropriate by the Academic Director or Managing Director/Principal.
- The **Student Achievement Manager/Associate** will be responsible for monitoring data and providing data analysis to academic leaders, supporting in identifying students who struggle as well as advanced students, and liaising with external special education staff, including local Committees on Special Education and service providers, to ensure that all students are receiving necessary supports.

- The **School Psychologist** will attend to students' social-emotional development and mental health needs and support Zeta's special populations, including working with teachers and leaders to create supportive systems and plans for special populations and other struggling students. The School Psychologist will implement relevant aspects of students' IEPs, coordinate with staff to develop and implement social-emotional supports and behavior plans, and work with students and their families to ensure that the connections between home and school are strong, and that families are providing the support that students need to be successful.
- **Operations Staff**
  - The **Operations Director** will be responsible for operations leadership and overseeing all non-instructional operational matters, including but not limited to excellent school operations, administrative matters, facilities, communications, enrollment, student records management, logistics, technology, budget/financial matters, contracts, and school safety and health matters. This individual will manage a team of operations/administration personnel and oversee logistics for school-wide events, including family events, field trips, health-related matters (hearing/vision tests, immunizations, etc.), school pictures, etc. This individual will establish safe and efficient arrival, breakfast, lunch, recess, dismissal, and class transition procedures; monitor all procurement; manage the budget and implement sound fiscal practices; determine scheduling for operations staff; manage parent communications; manage facilities and shared space matters, as well as building maintenance; manage student data collection and information updates; and maintain school health and safety protocols, including school safety plan and fire drill routes.
  - The **Operations Associate** and **Operations Manager** will support the Operations Director and will be responsible for anticipating and preventing maintenance and cleanliness issues; coordinating school procurement and timely obtaining necessary supplies for school staff; ensuring school security agent is on premises and performing job appropriately; ensuring appropriate/necessary fire drills; ensuring compliance with laws/rules/regulations related to school food service; ensuring students and staff have timely access to appropriate food in a clean cafeteria; managing basic technology needs at school level; ensuring school operates in compliance with federal, state, and local laws, as well as its charter; and creating and maintaining a school emergency response plan.
  - The **Community Alliance Associate/Manager** will be responsible for a high level of "customer" service on the part of the school to all constituencies (families, external visitors, community members); being the first point of contact for all visitors to the school; preparing weekly fliers announcing upcoming events for student families; preparing weekly fliers announcing upcoming events for student families; answering the telephone in the main office and taking messages or forwarding calls as appropriate; managing student attendance process; maintaining

administrative office systems (mail, facsimiles, email); ensuring office is organized, clean, stocked with necessary supplies; attending to minor student health needs; and planning/coordinating student field trips.

### **Required Qualifications**

- All Staff, including coordinator-level, entry-level, administrative must possess the following qualifications:
  - Dedicated to Zeta Schools NYC's mission, culture, core values, goals, and priorities;
  - Deeply believes that all children are capable of achieving at high levels;
  - Relentlessly committed to excellence, high standards for oneself and others;
  - Desires to make a difference;
  - Has a learner's mindset and dedicated to constant improvement;
  - Humble, able to receive and implement regular, real-time feedback;
  - Thoughtful, self aware, team player, collaborative, strong interpersonal skills;
  - Positive can-do attitude, professional mindset;
  - Committed to data- and process-driven approaches to education / schooling;
  - Highly organized;
  - Efficient and always seeking greater efficiencies, particularly through technologies;
  - Creative, innovative, resourceful;
  - Has excellent oral and written communication skills;
  - Demonstrated a pattern of high achievement in the past;
  - Strong ability to multitask, handle numerous tasks, and set priorities effectively;
  - A strong interest in the area one is applying for and, ideally, relevant past experience and success (academics, operations, etc.);
  - College degree, advanced degree, has strong recommendations from previous employers or professors, has impressive past accomplishment(s), and/or shows extraordinary future promise.
  
- In addition to the above qualifications, specialized and more experienced staff must possess additional qualifications:
  - More senior staff and staff who manage others:
    - Ability to set and maintain high expectations for oneself and those he/she manages;
    - Ability to effectively guide, mentor, coach, and lead others so as to substantially improve performance over a short period of time;
    - Manage others in a positive, motivating, effective manner;
    - Highly organized and process-oriented;
    - Analyzes and drives with data;
    - Resourceful, determined leadership;
    - Displays high professionalism at all times;
    - Able to manage a substantial workload at a high level;

- Exemplary oral and written communication skills and sophisticated analytical skills; and
- Experience hiring, developing, and managing employees.
- Academic Director:
  - Extensive experience and success at a high-performance school organization;
  - Extensive experience hiring and successfully managing employees in a high-performance school organization;
  - Strong fit with and dedication to Zeta Charter School NYC's mission and goals;
  - Ability to implement and be guided by core organizational values;
  - Demonstrated commitment to student academic excellence;
  - Great understanding of curriculum, lesson planning, and effective lesson delivery;
  - Ability to coach and move teacher practice;
  - Comfort with integrating technology into instruction;
  - Teaching and leadership experience, particularly in an urban setting;
  - Big-picture, 360-degree thinking and approach;
  - Commitment to data- and process-driven instruction and schooling;
  - High level of organization and resourcefulness, can-do mindset; and
  - Able to motivate and lead at a high level, build strong relationships.
- Operations Director:
  - Extensive experience and success at a high-performance organization, leading key operations functions;
  - Extensive experience hiring and successfully managing employees in a high-performance organization;
  - Strong fit with and dedication to Zeta Charter School NYC's mission and goals;
  - Ability to implement and be guided by core organizational values;
  - Big-picture, 360-degree thinking and approach;
  - Commitment to data- and process-driven operations;
  - High level of organization and resourcefulness, can-do mindset; and
  - Able to motivate and lead at a high level, build strong relationships.
- Teachers and staff working with children:
  - Enjoy working with children;
  - Able to make children fall in love with learning;
  - Creates a positive learning environment and a loving rapport with children and families;
  - Expertise in relevant content area, as appropriate, or demonstrated ability to become expert / highly knowledgeable in relevant content area;
  - Strong classroom management skills;
  - Relentlessly committed to academic excellence;
  - Willing to study, analyze student data and work to improve teaching practice, committed to data-driven instruction;
  - Owns student performance;
  - Demonstrated ability to engage students and deliver effective instruction;

- Relevant teaching experience, especially in an urban setting; and
- Head Teachers should typically have 2-3 years of teaching experience, New York State teaching certification, and/or a Master's degree, or other exceptional experience.
- School Psychologist and Related Service Providers:
  - High degree of professionalism and reliability;
  - Belief that special education is not a permanent status;
  - Experience in relevant field with a track record of serving children at high levels, including graduating children from services as appropriate;
  - Strong fit with Zeta Schools NYC's school culture and core values; and
  - All required certifications, licenses, and academic credentials per applicable law / regulations / requirements.

### c) Staff Recruitment and Retention

Zeta Schools NYC teachers and leaders are key to the quality of the proposed schools. It is accordingly critical that we are able to recruit and retain top-quality talent. Therefore, we will be casting a wide net, seeking talent in both usual places (educational arenas) and unusual places (other fields, such as business, law, service industries, etc.) in a concerted effort to find extraordinary talent. We will source candidates through job postings, outreach initiatives, partnerships with educational organizations, career fairs, on-site events, our networks, and referrals.

The interview process will be rigorous so that we can ascertain in a compressed period whether the candidate has what it takes to deliver an exceptional education for every single child attending a Zeta school. The application and interview process will involve:

1. Application submission with resume, cover letter, college/graduate school transcript, and writing sample;
2. Review of resumes;
3. Phone or videoconference screening interview;
4. In-person interview;
5. Demonstration lesson and/or other interview tasks;
6. Interview with school leadership;
7. Reference and background check; and
8. Job offer.

During the course of the application and interview process, we will be looking for the qualifications described in **Response 11(b) - Qualifications and Responsibilities** above.

Our interview process will yield a workforce that is highly talented, mission-minded, and dedicated to excellence. Zeta Schools NYC will provide robust training and mentoring to its employees throughout their employment so that they are set up to succeed and constantly learning. They will have clear job descriptions and deliverables, as well as the guidance and resources they need to execute their jobs successfully. Zeta leadership will make it a priority to establish a high-performance, people-first culture that will both foster excellence while ensuring a strong, positive employee culture. Our

schools will offer competitive compensation and benefits (see **Response 21(a) - Budget Narrative**), as well as career growth potential for those with the ambition, work ethic, and leadership skills to achieve promotions to more senior levels. We believe our organizational culture will serve to attract and retain our best employees, as well as challenge them to deliver excellent work that will make a difference in the educational lives of children.

**12. Personnel**

**(d) Personnel Policies**



**ZETA CHARTER SCHOOLS - NEW YORK CITY**

**EMPLOYEE HANDBOOK**

## **MISSION**

Zeta's mission is to build and sustain high-performing schools that forge thriving communities of lifelong learners, problem solvers, and innovators.

## **VISION OF A ZETA GRADUATE**

### **STRONG MIND**

- Zeta grads learn for the love of it and out of boundless curiosity.
- Zeta grads are academically ready for the whirlwind and challenges of college and a demanding workforce so they can lead extraordinary lives of their own choosing.
- Zeta grads have the creativity and problem-solving skills and mindset necessary to be innovators and leaders in an ever-changing digital economy.

### **STRONG BODY**

- Zeta grads practice healthy habits, engaging in regular vigorous exercise and making smart food choices so that their strong bodies enable their boldest dreams.

### **STRONG SOUL**

- Zeta grads live mindfully in the present, with a deep sense of self, joy, wonder, and peace.
- Zeta grads live with audacity, integrity, and grace, not controlled by fear.
- Zeta grads take risks in anticipation of abundant life returns, accepting also disappointment and pain down this courageous path.
- Zeta grads dig deep and press on.

### **STRONG CONNECTEDNESS**

- Zeta grads form profound connections with others, champion community and team, and bring a giving, collaborative spirit to every interaction.
- Zeta grads walk a mile in others' shoes and connect from that place.
- Zeta grads know their roots, live with gratitude, and give back in greater measure.

### **BEAUTIFUL TOMORROW**

- Zeta grads stride confidently into the unknown, trusting their life experiences, capabilities, and openness to others to carry them on unexpected journeys that far exceed their highest expectations.
- Zeta grads engage in their life's work, fueled by their passions, talents, and sense of purpose larger than self.
- Zeta grads own their place as world citizens, leaders, innovators, and disruptors, and bring their power to bear for a better, more equitable world.

## ZETA CORE VALUES

### **PURPOSE-DRIVEN**

- Do what's right for kids
- Create momentum for an extraordinary life
- Live with child-like love, joy, promise

### **EXCELLENCE**

- Go all in
- Raise the excellence bar
- Drive innovation
- Listen, learn, solve root causes
- Steward Zeta resources for greatest impact

### **COMMUNITY**

- Deliver WOW through family service
- Invest in the power of team
- Teach each other to fish
- Build trust through openness and vulnerability
- Pursue diversity and inclusion

## INTRODUCTION

### **Section 1: WELCOME TO ZETA**

Welcome to Zeta Charter Schools / Zeta Charter Schools – New York City (“Zeta”)! We are thrilled to have you as a part of Team Zeta!

This Employee Handbook (the “Employee Handbook”) contains our policies, practices, and benefits in effect as of June 1, 2018. Some of the subjects covered in this Employee Handbook are covered in greater detail in separate policy documents and/or procedures that have been or will be circulated separately. Please carefully review the Employee Handbook and the separate policy and/or procedure documents, as they contain important information that you should and will want to know as a Zeta employee. **In addition, as a condition of your employment and continued employment, you are required to abide by all Zeta policies, including those contained in this Employee Handbook. However, this Employee Handbook is not a contract for employment.**

Zeta reserves the right to make changes at any time to its policies, practices, and benefits, with or without notice, and will endeavor to inform you of any changes as they occur. Because it is impossible to anticipate every situation that may arise, Zeta reserves the right to address a situation in a manner different from that described in this Employee Handbook if, at its discretion, the circumstances so warrant.

Shortly after receiving this Employee Handbook, you will be asked to sign an electronic Receipt and Acknowledgement regarding the Employee Handbook. After reviewing the Receipt and Acknowledgment, you will be asked to electronically confirm that you have received this Employee Handbook and that you understand that you are expected to read and comply with the policies set forth in it and all other Zeta policies. You must review the Receipt and Acknowledgment and submit the electronic confirmation within ten business days. While you must complete this step, all Zeta policies and procedures apply irrespective of whether the Receipt and Acknowledgment is received.

## EMPLOYMENT

### **Section 2.1: PRIMARY GOALS AND RESPONSIBILITIES OF EMPLOYEES**

Your primary responsibility is the health and safety of our students. You also share responsibility for the development of each student’s potential (including academic, social-emotional, and physical), as well as upholding good work habits, a positive attitude, and Zeta’s mission, vision, and values. We also expect and encourage communication between teachers/administrators and parents.<sup>1</sup> You must conduct yourself in a manner that enables parents to feel that they can communicate with, trust, and depend on Zeta to care for and educate their children.

It is important that you reflect the highest level of professionalism in everything that you do, reflect, and say. You must consistently model our vision and values, which we hope to foster in our students. Finally, as always, you are required to abide by all applicable federal, state, and local laws, rules, and regulations.

### **Section 2.2: EMPLOYMENT ELIGIBILITY**

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<sup>1</sup> For the purposes of this Employee Handbook, the term “parent(s)” includes a student’s parent, legally appointed guardian, foster parent, and/or any person in a parental or custodial relationship to the student.

Since you may work closely with students, you are required to successfully complete a criminal history background check and obtain fingerprinting clearance prior to commencing your employment. Your background check will be reviewed by two or more Zeta personnel. Your offer of employment is also contingent on verification of your right to work in the United States. Under applicable law, Zeta is required to verify that all employees are legally authorized to work in the United States. Zeta is further prohibited by law from employing persons who are not legally authorized in the United States or do not present appropriate documentation evidencing employment authorization. The People & Culture Team will inform you what documents and information must be presented on or before your start date.

### **Section 2.3: EMPLOYMENT APPLICATION INFORMATION AND REFERENCES**

During the hiring process, Zeta may verify certain information about applicants, including details about their employment history (e.g., positions held, dates on resume, salary), and/or educational qualifications. We rely on the accuracy of information provided in the employment application, both during the hiring process and once employment has begun. Any misrepresentation, falsification, or material omission in any of this information may result in disqualification from the hiring process or, if the person has been hired, termination and/or other disciplinary consequences.

### **Section 2.4: EMPLOYMENT CATEGORIES**

You will be designated as either exempt or non-exempt from federal and state wage and hour laws. Exempt employees are excluded from the provisions of federal and state wage and hour laws relating to overtime. Non-exempt employees are entitled to overtime pay under those provisions. The People & Culture Team will determine at the time of hire, transfer, or promotion whether you will be classified as exempt or non-exempt, based on your position.

In addition to the exempt/non-exempt categories described above, you will also belong to one of the four following categories: (i) *full-time employees*, who are compensated on a salary basis and are eligible for benefits, (ii) *part-time employees*, who work less than a full-time schedule and who may be compensated on a salary or hourly basis depending on the assignment, and who may or may not be eligible for benefits depending upon the length of employment and/or the number of hours worked per week, (iii) *temporary employees*, who are hired for short-term periods, work no more than 29 hours per week on average, and who are not eligible for employee benefits, and (iv) *seasonal employees*, who are hired for six months or less, average no more than 30 hours per week in a 12-month period and are not eligible for employee benefits.

The term “employee” does not include interns or any individual retained directly or through a third-party agency or other entity to perform services for Zeta (for either a definite or an indefinite duration) as a temporary service worker, leased worker, independent contractor, or consultant, or in any similar capacity. Additionally, these individuals are not eligible for employee benefits, and are subject to Zeta policies at all times.

No person other than the Chief Executive Officer, Head of Network Operations, or Head of People & Culture may enter into any written agreement for employment with any employee for any specified period of time.

### **Section 2.5: EMPLOYMENT-AT-WILL**

Employment with Zeta is “at-will.” This means that you or Zeta may end your employment at any time, with or without cause or reason. Neither this Employee Handbook, nor any other Zeta

document, confers any contractual right, either expressed or implied, to remain in Zeta's employ for any length of time, nor does it guarantee any fixed terms and conditions of employment. While you may terminate your employment with Zeta at any time, without cause or reason, we request at least four weeks' advance notice should you choose to resign from your employment.

### **Section 2.6: OUTSIDE EMPLOYMENT**

To avoid conflicts of interest, at the time of hire, you must disclose in writing any other employment, self-employment, consulting, tutoring, volunteer, or board membership activities that you plan to engage in while employed with Zeta.<sup>2</sup> Throughout the course of your employment, any additional activities of the same nature not reported at the time of hire must be reported right away to your manager and to the People & Culture Team *prior* to entering into those arrangements. Where a conflict of interest is found, you will be notified and required to cease such activity, or refrain from initiating the activity.

In order to avoid any appearance of impropriety or favoritism, you may not receive compensation for tutoring a student who is enrolled at the Zeta school where you are employed (if applicable to you).

### **Section 2.7: NEPOTISM AND PERSONAL RELATIONSHIPS**

While Zeta may hire and retain relatives of or other individuals with close personal relationships with our employees and contractors, we will not do so where such employment creates (or has the potential to create) a conflict of interest, unless such conflict is waived in accordance with our code of ethics and conflict of interest policy (see Section 5.8). Employees and contractors are required to immediately disclose to the People & Culture Team any familial or personal relationship with an applicant, a contractor, and/or a vendor or potential vendor.

There are special considerations when an employee's child or a child who is related to an employee (such as a niece, nephew, or grandchild) may attend the same school where the employee works. As soon as this situation is contemplated (such as when an enrollment application is submitted for the child), it must be disclosed to your manager and to the People & Culture Team.

An employee's child or a child related to the employee may attend the school where the employee works but may not be in the same class an employee teaches. Employees must treat all children equally and may not give special treatment to relative children in their school. Employees are also prohibited from accessing student files (including any digital files on our student information system or otherwise) pertaining to their relative children or other children unless they have a legitimate educational need to do so. Employees may not become officers of the Parent Association and Parent Association Leaders at their child's school.

### **Section 2.8: EQUAL OPPORTUNITY EMPLOYER**

Equal employment opportunity and respect in the workplace are fundamental principles at Zeta. Zeta prohibits and does not tolerate discriminatory, harassing, or retaliatory conduct (described further below).

All aspects of your employment are based on your personal capabilities and qualifications, without regard to race, color, religion/creed, sex/gender (including pregnancy and gender identity), sexual orientation or perceived sexual orientation, national origin, including ancestry, alienage or citizenship status, disability, age, military status, marital status, familial status,

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<sup>2</sup> The definition of conflict of interest can be found in Zeta's Conflict of Interest Policies.

partnership status, status as a victim of domestic violence, genetic predisposition or carrier status, or any other protected class as established by federal, state, or local law (“Status”).

### **Section 2.9: INDIVIDUALS WITH DISABILITIES**

Zeta prohibits discrimination against any qualified employee or applicant with a disability with regard to any terms or conditions of employment because of the individual’s disability or perceived disability. A qualified employee or applicant with a disability is a person who meets the qualification requirements of an employment position that he/she holds or seeks, and who can perform the essential functions of the position with or without reasonable accommodation.

Consistent with this policy, Zeta will work with qualified individuals with disabilities (as defined by the federal Americans With Disabilities Act (“ADA”) and other similar federal, state, and local laws) who have made Zeta aware of their disabilities to provide an appropriate accommodation, provided that such accommodation does not constitute an undue hardship on Zeta. Women who are pregnant, are recovering from childbirth, or who have a related medical condition are protected from discrimination under the NYC Human Rights Law. They likewise may be entitled to a reasonable accommodation to perform the essential functions of their job. Reasonable accommodations may include, but are not limited to, bathroom or water breaks, help with manual labor, or unpaid medical leave. If you believe you have a disability and require a reasonable accommodation to perform the essential functions of your job, you should contact your manager and the People & Culture Team. Zeta encourages individuals with disabilities to come forward and request reasonable accommodation. All information that employees choose to provide to Zeta regarding disability status and/or accommodations will be kept confidential and will not be disclosed to anyone without the employee’s permission, except when required by law, as necessitated to process the reasonable accommodation request and/or to ensure the safety of the workplace.

If you believe that you have been discriminated against as a result of having or reporting a disability, you should report such perceived discrimination to your manager and/or the People & Culture Team. All complaints will be handled in accordance with the Reporting Procedure outlined in Zeta’s Perceived Violations Policy, attached as Addendum B.

### **Section 2.10: ACCOMMODATIONS FOR RELIGIOUS PRACTICES AND BELIEFS**

Zeta makes reasonable accommodations for religious practices and beliefs consistent with the requirements of applicable law.

### **Section 2.11: RESIGNATION, TERMINATION, AND NON-SOLICITATION**

Should you choose to resign from your employment, **we request at least four weeks’ advance notice**. Your thoughtfulness is appreciated and will be noted favorably should you ever wish to re-apply for employment with, or request a job reference from, Zeta.

All salaried employees, including school employees, are employed on a 12-month per year basis. For employees who separate from Zeta, salary payments and benefits cease as of the last day of employment. However, an exception is made for teachers and academic leaders in good standing who work through the last day of the academic year, who will continue to receive full salary payments and benefits for a specified period of time beyond the academic year. Please contact the People & Culture Team for more information.

All confidential information (whether in written or electronic form), technology resources (including Zeta-issued laptops, phones, keyboards, computer mice, and any other technology), keys, curriculum materials, Zeta credit card (if applicable), and other property belonging to Zeta

must be returned to your manager, the Operations Team, or the People & Culture Team immediately upon termination of employment. If you do not return Zeta property within 2 weeks of your departure, you will be required to reimburse Zeta for the full cost of any unreturned property.

In consideration for your employment with Zeta, you acknowledge and agree that you, during and for one calendar year following the end of your employment, will not in any manner hire, solicit, induce, or in any way influence someone who is or was an employee, consultant, or independent contractor to work for another employer without first obtaining the prior written consent of the Chief Executive Officer, the Head of Network Operations, or the Head of People & Culture.

### **Immediate Dismissal/Misconduct**

Violation of certain Zeta policies may result in immediate termination of employment. Such violations include, but are not limited to: corporal punishment; use or sale of narcotics; repeated poor performance; excessive absence; excessive lateness; failure to report student abuse; intoxication; demeaning and/or unsafe conduct or attitude toward students, employees, visitors, contractors, and/or vendors; theft; fighting; abusive or foul language; insubordination; and/or a serious (or repeated) violation of the requirements set forth in this Employee Handbook or of any Zeta policy, including the Anti-Harassment Policy, Sexual Harassment Policy, and Anti-Retaliation Policy.

## **TIME AND ATTENDANCE**

### **Section 3.1: WORK DAYS AND WEEK**

A typical work week is Monday through Friday. Full-time, exempt school staff typically work a minimum of 47.5 hours per week. Professional development that takes place in the afternoon or on non-instructional days throughout the year is mandatory. Additionally, teaching staff will be required to provide tutoring, instruction, or other teaching and supervising activities as part of our after school program two or more days a week. While you should consult the applicable school calendar for dates on which schools are closed, school closures do not necessarily constitute days off for employees. Breaks are permitted in accordance with applicable law.

### **Section 3.2: ATTENDANCE AND PUNCTUALITY**

Your attendance and punctuality are very important to us and to our students and families. This includes being at work during your scheduled work hours, attending required meetings, and carrying out work functions at Zeta-sponsored activities.

If you need to be late for work or absent, let your manager know in person, via email, via a detailed text, or by calling his/her business or cell phone as far in advance as possible, but no later than 7:30 a.m. (6:30 a.m. for school staff) on the day of your absence. Leaving a message on the school's answering machine is insufficient, as your manager is unlikely to receive the message in time. If sending an email or text, include both your manager and, if applicable, your Managing Director of Schools to ensure they are aware of your absence or late arrival. See Section 4.3 below for information about Sick Days.

Personal issues requiring time away from work, such as doctor's appointments, should be scheduled during your non-working hours if possible. If you must attend to personal business during the work day, talk with your manager in advance to ensure sufficient work coverage and to choose a time that will be least disruptive to Zeta.

### **Section 3.3: PAY PERIODS AND GETTING PAID**

Zeta encourages all employees to use direct deposit for their paychecks. For payroll purposes, the work week starts on Monday and ends on Friday. You will be paid twice per month, on the 15<sup>th</sup> and the last day of every month. If the 15<sup>th</sup> or last day of the month falls on a Saturday, Sunday, or holiday, you will be paid on the immediately preceding business day, assuming you are enrolled in Zeta's direct deposit program.

### **Section 3.4: PAY DEDUCTIONS, GARNISHMENTS, & TEACHER CERTIFICATION**

The law requires that we make certain deductions from your pay. Among these are applicable federal, state, and local income taxes. Pay deductions may also be made by Zeta in response to a garnishment notice received from a court or other legal authority.

If you are a non-exempt employee, you are paid based on the number of hours you work, and your pay may increase or decrease accordingly. While the salary paid to exempt employees generally cannot be reduced due to variations in the quality or quantity of work, under certain circumstances, and in accordance with federal wage-hour regulations, deductions may be made from an exempt employee's salary (in addition to tax withholdings and other applicable payroll deductions). Zeta will comply with these requirements and will prohibit improper deductions from the salaries of exempt employees. You are responsible for checking your earnings statements and promptly reporting any mistakes. Any mistakes will be corrected as quickly as possible.

**You are responsible for notifying the People & Culture Team about certifications/licenses and keeping your certifications/licenses current.** Certified teachers and licensed professionals: you are expected to maintain your certification/license. If you lose your certification/license or do not renew your certification/license in a timely manner, you will not be considered "in good standing" until your certification/license is reinstated or renewed. Failure to remain in good standing will impact your eligibility for raises and/or bonuses, if any. You are responsible for notifying the People & Culture Team in writing once your certification/license is renewed. You will be returned to good standing once notice is received (not on the date your certification/license was renewed).

If you have questions concerning why certain deductions were made from your paycheck or how they were calculated, please contact the People & Culture Team.

### **Section 3.5: TIME RECORDING AND OVERTIME FOR NON-EXEMPT EMPLOYEES**

If you are a non-exempt employee, you must keep accurate time records and electronically review and submit your time records to your manager semi-monthly, five business days prior to each payday. Time records that are submitted after payroll has been processed will be paid out in the subsequent payroll. Your manager will review and approve your time record, but you maintain primary responsibility for the accuracy and timeliness of your records.

If you are a non-exempt employee, you will be paid overtime at a rate of one-and-one-half times regular earnings for all time worked over 40 hours in a workweek. Overtime must be approved by your manager prior to working the overtime hours. School closures, holidays, sick leave, vacation, and any other time during which no work is performed are not considered "time worked" for the purposes of computing regular or overtime pay. Additionally, if you are a non-exempt employee, you must take breaks as follows:

- If you start work before 11 a.m. and work for six or more consecutive hours, you must take a 30-minute, unpaid meal break between 11 a.m. and 2 p.m. If you plan to work past 7 p.m., you must take an additional unpaid 20-minute break between 5 p.m. and 7

- p.m.  
If you start work after 1 p.m. and work six or more consecutive hours, you must take an unpaid 45-minute break midway through your shift.

**Section 3.6: REIMBURSEMENT FOR APPROVED EXPENSES**

You may be reimbursed for qualifying expenses incurred on behalf of Zeta that are approved by your direct manager. If you work past 8 p.m., Zeta will reimburse the cost of a cab home. The use of cabs for this purpose may not be routine, and no cab expenses of \$100 or more will be reimbursed. For overnight travel for work, you have an allowance for each meal while you are traveling as follows: \$10 for breakfast; \$18 for lunch; and \$35 for dinner. Exceptions may be made on a case-by-case basis by the CEO or designee. Unused allowances do not carry over from one meal to another.

Expenses will not be reimbursed if they are submitted outside of the deadlines outlined below, they were not previously authorized by your manager, or they are not accompanied by a receipt. Any exceptions may be made by the CEO or the CEO’s designee, based on the CEO’s determination of whether the individual incurring the expense had and documented a good reason for such an exception. Approved requests will be reimbursed through payroll with your regular pay.

**Submitting Expenses for Reimbursement**

Expenses for reimbursement must be submitted to the Finance Team electronically, in accordance with Zeta’s Expense Reimbursement Policy and no later than the timelines reflected in the chart below. Please email the Finance Team if you have any questions about these timelines or the process for submitting your expenses.

WHEN EXPENSE IS INCURRED	EXPENSE REPORT DEADLINE
n any month <i>except</i> June	Last business day of the following month
n June, <i>before</i> last day of school	Last day that teachers are in schools (typically two business days after the last day of the school year)
n June, <i>on or after</i> last day of school	Last business day in July

Reimbursements are processed monthly, in accordance with Zeta’s Expense Reimbursement Policy. In addition to the deadlines above, requests for reimbursement must be submitted by the 20th of each month in order to be processed in the subsequent payroll. Expenses submitted after the 20th of any month will be processed in the final payroll for the subsequent month.

**Section 3.7: TRAVEL TIME FOR NON-EXEMPT EMPLOYEES**

If you are a non-exempt employee (see above) you may be compensated for travel time in accordance with applicable wage and hour laws. Generally, travel time between a non-exempt employee’s “normal” workplace and another job-related location during the workday is considered compensable “work time,” provided that the method of travel is reasonable. However, normal commuting to and from work is not compensable work time. Any questions regarding travel time should be directed to the People & Culture Team.

**Section 3.8: WEATHER DAYS AND OTHER CLOSINGS - SCHOOL EMPLOYEES ONLY**

We *rarely* close due to weather, but if we do, you will receive an email from school leadership, your manager, or a pre-recorded phone call notifying you of a school closure. As stated above, certain school employees may be required to work even when the school is closed, depending on assignment and reason for closure. If you have any questions, please reach out to your

manager.

## **EMPLOYEE BENEFITS AND TIME OFF**

### **Section 4.1: EMPLOYEE BENEFITS AND ELIGIBILITY**

Zeta may offer a number of employee benefit plans and programs, including, but not limited to: (i) a retirement savings plan; (ii) medical, dental, and vision insurance; (iii) short-term disability; (iv) long-term disability; (v) basic life and accidental death & dismemberment (AD&D) insurance; (vi) supplemental life insurance; and/or (vii) health, dependent care, transit, and parking Flexible Savings Accounts (FSA). Eligibility for these benefits is generally based on your employment status, as follows:

- If you are a salaried, full-time employee, you are eligible for all Zeta employee benefit plans and programs.
- If you are a salaried, part-time employee, and you work at least 30 hours per week, you are eligible for all Zeta employee benefit plans and programs, but your compensation and some benefits, including PTO and childcare leave, will be prorated accordingly.
- If you are a part-time employee who is paid on an hourly basis, and you work at least 30 hours per week, you are eligible for Zeta benefit plans and programs starting in the first month after your first full calendar year of employment with Zeta.<sup>3</sup> As with salaried, part-time employees, your compensation and some benefits, including PTO and childcare leave, will be prorated accordingly.
- If you are a part-time employee (salaried or hourly) who works fewer than 30 hours per week, a contracted employee, a seasonal employee, or an intern, you are not eligible for Zeta benefit plans or programs.

The terms and conditions for each benefit are set forth in detail in formal plan documents, which may be amended, replaced, or terminated at any time. To the extent that any information in this Employee Handbook is in conflict with a provision of a plan document or an amendment to a plan, the plan document or amendment will govern.

### **Disability Benefits**

The *short-term disability* plan (if elected) provides coverage for a temporary disability due to an eligible non-occupational illness or injury or an eligible disabling pregnancy-related condition. The *long-term disability* plan provides coverage for a longer-term eligible disabling condition, which can be occupational or non-occupational and can be the result of illness, injury, or related to a disabling pregnancy-related condition. Zeta will not take any adverse action in retaliation for a good faith filing of a disability benefits claim. For more information about short- and long-term disability benefits and other benefit programs, including limitations of each benefit and how to apply, please refer to the benefit plan description or contact the People & Culture Team.

### **Section 4.2: WORKERS' COMPENSATION**

You are eligible for workers' compensation in the event that you are injured or become ill on the job. In order to ensure that you receive full benefits under this program, you must immediately report to your manager and to the People & Culture Team all injuries sustained on the job and all illnesses that you believe resulted from your duties for Zeta. Managers who learn of an injury sustained on the job, or an illness that may be related to an employee's work duties, must immediately notify the People & Culture Team. Failure to report an injury or illness promptly, or

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<sup>3</sup> These employees will be eligible to enroll in Zeta's health insurance plan within ninety days of their first day of employment with Zeta.

to comply with applicable requirements, may result in a delay or denial of benefits. If any employee sustains work-related injuries or is otherwise injured, the employee may be eligible for medical leaves of absence in accordance with applicable state and local law.

**Section 4.3: TIME OFF AND SICK DAYS**

Employees are eligible for time off based on their employer and their role, as outlined below. Employees who transfer into a new role assume the time-off policy that aligns with their new position, effective on their date of transfer. Staff who transition to a position with a different time off policy will no longer be entitled to time off under their former policy following the date of their transfer. Accrued PTO, if any, will not be paid out upon such a transition, and School staff transitioning to Network roles will not be paid out for any summer or school year breaks. Additionally, personal days are not accrued and therefore will not roll over to the new role.

**School Staff**

School staff receives time off as a combination of paid break days during holidays, school year breaks, and summer, personal days, and, for school operations staff, Paid Time Off (“PTO”), as set forth in the following chart.

**School Staff Time Off**

	<b>Personal Days</b>	<b>PTO</b>	<b>Holidays and School Year Breaks*</b>	<b>Summer *</b>
Teachers & School Psychologists	2	-	24	30
Student Achievement Team	2	-	24	15
MDs of School, Resident MDs of School, Academic Directors, Assoc. Academic Directors, Deans	5	-	21	15
Operations Directors	5	10	21	5
School Operations Staff	4	8	24	5

\* These days are **approximate** and can change based on the Academic Calendar.

Most school leaders and teachers receive Paid Break Days Off rather than traditional PTO because you receive full pay and benefits during all breaks when schools are closed, so long as your employment by Zeta continues during the breaks (subject to Section 2.11 above). School operations staff receive a combination of Paid Break Days Off and PTO because you are expected to work during much of the summer.

**Personal Days** – In addition to the scheduled breaks, we recognize that you may need time to tend to personal matters. For these times, you may take the above-listed number of personal days corresponding with your position. You should submit a request for a personal day to your manager as soon as you know about it so your manager can ensure sufficient work coverage. Personal days, as well as holiday, school year, and summer breaks, may not be rolled over from one year to the next and will not be paid out upon the termination of your employment.

**PTO** - School operations staff is eligible for PTO in addition to Paid Break Days Off and Personal Days. PTO will roll over from one fiscal year to the next. Rollover is limited to a

maximum of one-half of your total PTO allowance each fiscal year. Any PTO that rolls over will expire on December 31 of the following fiscal year.

Inform your manager of any planned PTO or personal days as soon as possible, or at least one month in advance. **Please do not finalize any travel plans or appointments until you have confirmed with your manager that there are no work coverage issues that require you to take your PTO or personal days at a different time and receive their approval.** If possible, we ask that employees limit the use of PTO and personal days during the first three months of employment, and any PTO or personal days requested during this time will be subject to approval as described above. During the hiring process, please notify the People & Culture Team and/or your manager of any pre-existing plans that may require you to use PTO or personal days within the first three months of employment.

### **Network Staff**

Network staff are eligible for traditional PTO days, which are inclusive of personal and vacation days.

- For staff up to and including the Associate Director level, PTO accrues at a rate of 1.67 days at the end of each month totaling 20 days annually.
- For salaried Directors and above, PTO accrues at a rate of 2.083 days at the end of each month totaling 25 days annually.

Employees can borrow up to half of their annual PTO in advance.

Inform your manager of any planned PTO as soon as possible, or at least one month in advance. **Please do not finalize any travel plans until you have confirmed with your manager that there are no work coverage issues that may require you to take your PTO at a different time.** You are responsible for ensuring that your work is completed and work coverage is sufficient while you are out on PTO.

PTO will roll over from one fiscal year to the next. Rollover is limited to a maximum of one-half of your total PTO allowance earned each fiscal year. Any PTO that rolls over will expire on December 31 of the following fiscal year. Following termination of your employment, you will be paid for any accrued but unused PTO, as determined by the People & Culture Team.

If possible, we ask that employees limit the use of PTO during the first three months of employment. Please use your discretion in requesting time off during that period. During the hiring process, please notify the People & Culture team and/or your manager of any pre-existing plans that may require you to use PTO within the first three months of employment.

Salaried, part-time employees who work at least 30 hours per week earn PTO subject to a reduced *pro rata* accrual rate in accordance with Section 4.1. Part-time employees who are paid on an hourly basis and who work at least 30 hours per week are eligible to earn PTO on a *pro rata* basis beginning in the first month after their first calendar year of employment with Zeta. Part-time employees (both salaried and hourly) who work fewer than 30 hours per week, contracted employees, seasonal employees, and interns are not eligible for PTO. Part-time employees working eighty or more hours per year are eligible to use sick days on the same basis as teachers and leaders as follows: part-time employees accumulate one hour of sick leave for every 30 hours worked, up to a maximum of 40 hours during the fiscal year. Additionally, these employees must keep track of the accumulation and use of their hours.

Both School and Network staff must track their PTO and/or personal days in Zeta's HR system.

For School employees, holidays and school and summer breaks will be tracked automatically and do not need to be entered separately.

### **Sick Days**

Your daily presence is critical to serving our students at the highest level. We realize, however, that from time-to-time you may get sick or need to care for a sick family member. You may use a sick day when, for example:

- You have a mental or physical illness, injury, or health condition that requires immediate attention; you need to get a medical diagnosis, care, or treatment of your mental or physical illness, injury, or condition, or you need to get preventive medical care.
- You must care for a family member who needs an urgent medical diagnosis, care, or treatment of a mental or physical illness, injury, or health condition, or who needs preventive medical care.
- Your place of work closes by order of a public official due to a public health emergency, or you need to care for a child whose school or childcare provider closed due to such an order.

For full time employees, Zeta has no formal sick day limitation. We have this policy because we treat our employees as professionals and assume that you will only take sick leave when it is necessary. We want you to take your sick days when you need them, but please do so responsibly as every Team Zeta member is critical to the world-class functioning of our schools. For school staff, please also keep in mind that our students benefit from consistency of instruction. We expect that your use of sick days is responsible, appropriate, and does not unreasonably interfere with your job responsibilities.

If your need to take a sick day is foreseeable (e.g. for scheduled surgery, caring for someone during scheduled medical procedures, etc.), you must give your manager as much advance notice as possible and no less than seven days' advance notice. In all other cases, you should provide your manager as much notice as possible via email or by calling his/her business or cell phone, but no later than 7:30 a.m. (6:30 a.m. for school staff) on the day of your absence. If an illness is so severe that you will be out for more than three consecutive days, contact the People & Culture Team (in addition to your manager) as we may require documentation from a licensed care provider. Please note, however, that additional Zeta policies and applicable laws, including the use of disability leave, may apply. See Section 3.2 above for more information about Attendance and Punctuality.

You cannot be retaliated against for using sick leave responsibly. If you are retaliated against, you may file a complaint with the Department of Consumer Affairs by visiting [www.nyc.gov/PaidSickLeave](http://www.nyc.gov/PaidSickLeave).

### **Section 4.4: HOLIDAYS**

Zeta currently observes the following holidays:

- New Year's Eve Day and New Year's Day
- Martin Luther King, Jr. Day
- Presidents' Day
- Memorial Day
- Independence Day
- Labor Day
- Columbus Day

- Thanksgiving Day and the day after Thanksgiving
- Christmas Eve Day and Christmas Day

Each year, you will receive a calendar reflecting the days that we will be closed. Note that these days are subject to change from year-to-year, and may not align with the New York City Department of Education's calendar.

#### **Section 4.5: MILITARY LEAVE**

If you are a member of the "Uniformed Services" (e.g., the U.S. Army, U.S. Navy, U.S. Air Force, Marines, U.S. Coast Guard, National Guard, the commissioned corps of the Public Health Service, or the U.S. Military, Naval, Air Force, or Coast Guard Academies), you will be granted an unpaid leave of absence for military service, training, or related obligations in accordance with the Unified Services Employment and Re-employment Act of 1995 (USERRA) and New York State law. At the conclusion of the leave, and upon the satisfaction of certain conditions, you generally have a right to return to the same position you held prior to the leave or to a position with similar seniority, status, and pay that you are qualified to perform. You will be entitled to all rights and benefits based on seniority that you would have attained had you not taken military leave. Seniority rights include pay and benefits that accrue or are determined based on their length of service. For more information on Military Leave, contact the People & Culture Team.

#### **4.6: CHILDCARE LEAVE**

Zeta is committed to being a family-friendly organization and is pleased to offer paid childcare leave policy to eligible employees. If you are a full-time employee, you are entitled to receive paid childcare leave (see chart below) at full pay following the birth or adoption of a child. Both "primary caregivers" and "non-primary caregivers" are entitled to receive paid childcare leave. For the purposes of this policy, a "primary caregiver" is defined as the person who has primary responsibility for the care of the newborn or newly adopted child, consisting of at least 28 hours per week from Monday through Friday between the hours of 7:30 a.m. and 6:00 p.m.

Salaried, part-time employees who work at least 30 hours per week are entitled to paid childcare leave on the same basis as full-time employees, except that their eligible leave period (whether 20 or 60 days) will be prorated according to the average number of hours worked, out of 40, during each of the four weeks immediately preceding the childcare leave request. Part-time employees who are paid on an hourly basis and who have been employed with Zeta for at least one calendar year are entitled to paid childcare leave on the same basis as part-time, salaried employees. Part-time employees (both salaried and hourly) who work fewer than 30 hours per week, contracted employees, seasonal employees, and interns are not eligible for childcare leave.

For primary caregivers, the paid childcare leave period must be taken within the first 12 weeks following the birth or adoption of the child. For both primary and non-primary caregivers, paid childcare leave must be taken all at once and may not be broken out into more than one leave period, unless otherwise approved by your manager. To ensure that your work obligations are properly covered, you must notify your manager and the People & Culture Team of your intention to take paid childcare leave as far in advance as reasonably possible. During the paid childcare leave period, you are eligible to continue employee benefits previously elected so long as you (i) continue to meet the eligibility criteria and (ii) make the required premium payments. Paid childcare leave runs concurrently with leave taken pursuant to the Family Medical Leave Act and with any holidays (including, for School staff, winter, spring, and summer breaks). You will continue to accrue PTO days while on paid childcare leave.

### Paid Childcare Leave Days

CAREGIVER TYPE	PAID CHILDCARE LEAVE
Primary Caregiver	3 months (60 paid days)
Non-Primary Caregiver	1 month (20 paid days)

### **Section 4.7: FAMILY AND MEDICAL LEAVE**

Eligible employees may utilize Family and Medical Leave Act (“FMLA”) leave, which may be up to 12 weeks of unpaid leave during any “rolling” 12-month period, for the following reasons: (i) incapacity due to pregnancy, prenatal medical care, or child birth; (ii) to care for your child after birth, adoption, or foster care placement; (iii) to care for your spouse, domestic partner, child, or parent who has a serious health condition, as defined below; or (iv) for a serious health condition that makes you unable to perform your job. An employee is eligible when (i) the employee has been employed by Zeta for at least 12 months and (ii) the employee has worked a minimum of 1,250 hours during the 12-month period before leave will commence.

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either inpatient care in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents you from performing the functions of your job, or prevents your qualified family member from participating in daily activities.

Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than three consecutive calendar days combined with at least two visits to a health care provider, or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition.

### **Military Family Leave Entitlements**

Eligible employees with a spouse, son, daughter, or parent on active duty or call to active duty status in the Armed Forces (including the National Guard and Reserves) in support of a contingency operation may also use their 12-week FMLA leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include attending certain military events, arranging alternative child care for a covered service member, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefings.

Eligible employees may also take up to 26 weeks of leave to care for a covered service member during a single 12-month period. A covered service member is (1) a current member of the Armed Forces (including the National Guard and Reserves) who is undergoing medical treatment, recuperation, or therapy, is in outpatient status, or is on the temporary disability retired list, for a qualifying serious injury or illness or (2) a veteran of the Armed Forces (including the National Guard and Reserves) discharged within the five-year period before the eligible employee first takes military caregiver leave to care for the veteran and who is undergoing medical treatment, recuperation, or therapy for a qualifying serious injury or illness.

### **Benefits and Protections**

During FMLA leave, you are entitled to continued group health plan coverage under the same conditions as if you had continued to work. To the extent you are paid by Zeta during FMLA leave, your portion of health insurance premiums will be deducted from your salary. If your FMLA leave is unpaid, your portion of health insurance premiums will be deducted from your salary in advance, before the FMLA leave period begins, or upon your return from FMLA leave. While you are out on FMLA leave, Zeta will maintain your Zeta-provided health coverage as if you had continued to work.

For any portion of your FMLA leave that is unpaid, you will be required to pay your share of health insurance premiums by submitting payment to Zeta on a monthly basis. If your payment of health insurance premiums is more than 30 days past due, Zeta may discontinue your health insurance coverage (at which time you would be offered continuation of health care coverage under COBRA).

While on FMLA leave, you will not continue to accrue PTO or personal days, unless otherwise specified. The period of time that you are on FMLA leave will be treated as continued service for purposes of determining eligibility to participate in any applicable Zeta retirement plan and/or other benefits or programs. To the extent that you paid a portion of premiums for other benefits, you may continue these benefits by making the required premium payments during the FMLA leave in accordance with arrangements to be made with Zeta.

Upon returning from FMLA leave, you will be placed in the same position you held before going on leave, or an equivalent position with equivalent pay, benefits, and other employment terms. You are entitled to reinstatement only if you would have continued to be employed with Zeta had FMLA leave not been taken. Certain "key employees" may be denied reinstatement if such denial is necessary to prevent substantial and grievous economic injury to operations. "Key employees" are salaried, FMLA-leave-eligible employees who are among the highest paid 10 percent of Zeta's employees employed within 75 miles of the worksite. Before you return to work from an FMLA leave due to your own serious health condition, you must submit a fitness for duty certificate from your health care provider, addressing the health condition for which the leave was taken, and stating that you are able to resume work. Your return to work will be delayed or denied if a fitness for duty certificate is not submitted in a timely manner.

### **Use of Leave**

Generally, you do not need to use your FMLA leave entitlement in one block. Leave can be taken intermittently or on a reduced leave schedule when medically necessary or due to a qualifying exigency. However, if you take FMLA leave to care for a healthy newborn or healthy newly placed child, FMLA leave may not be taken intermittently or on a reduced work schedule, unless Zeta has agreed to your leave request. FMLA leave taken to care for a newborn or newly placed child will run concurrently with any paid childcare leave offered by Zeta. You must make reasonable efforts to schedule leave for planned medical treatment so as not to unduly disrupt Zeta's operations.

### **Employee Responsibilities**

In order to ensure that your responsibilities are covered during our absence, we ask that you provide as much notice as possible of foreseeable FMLA leave. Absent unusual circumstances, when the need to take FMLA leave is foreseeable, you must provide at least 30 days' advance written notice to the People & Culture Team. When 30 days' notice is not possible, you must provide notice as soon as practicable to the People & Culture Team.

To request FMLA leave, you must complete and submit to Zeta a Family and Medical Leave of Absence Request Form.

A request for FMLA leave in connection with your serious health condition or that of your family member, or a service member's serious illness or injury, must be supported by an appropriate medical certification from a health care provider. Where leave is requested because of exigent circumstances arising from a family member's call to active duty in support of a contingency operation, you will need to submit an exigent circumstances form. To request the appropriate form, please contact the People & Culture Team, and submit the completed form to the People & Culture Team within 15 days of giving notice of the FMLA leave. For all intermittent or reduced-schedule leaves, the certification must state that it is medically necessary that the leave be on an intermittent or reduced-schedule basis and must specify the required schedule.

Zeta may require you to provide subsequent recertification from a health care provider depending on the duration stated in the medical certification, but generally not more than every 30 days (except under certain circumstances provided by law).

If Zeta has questions about your medical certification, Zeta may take the following steps:

- The People & Culture Team may contact your health care provider directly in an effort to clarify or authenticate a medical certification. If you decline to provide Zeta with a HIPAA- authorized release allowing Zeta to clarify the certification with your healthcare provider, and you do not otherwise satisfactorily clarify the certification, Zeta may deny FMLA leave; and/or
- Zeta may require you, at your expense, to undergo (i) a second examination by a Zeta-designated health care provider and (ii) a third final and binding examination by a health care provider jointly selected by you and Zeta, if necessary to resolve a conflict between the examinations conducted by your health care provider and the designated provider.

Failure to provide the required certification in a timely manner may delay FMLA leave (or the continuance of FMLA leave). If the certification is not produced, your absence will not be deemed FMLA leave and may be considered unapproved leave, potentially resulting in disciplinary action.

During FMLA leave, you must provide Zeta with periodic reports (no less than every 30 days) regarding your status and intent to return to work. If your anticipated return-to-work date changes and it becomes necessary for you to take more or less leave than originally anticipated, you must provide Zeta with reasonable notice (*i.e.*, within two business days) of your changed circumstances. If while on FMLA leave you provide Zeta notice of your intent not to return to work, you will be considered to have voluntarily resigned effective as of the date the FMLA leave is scheduled to end.

### **Employer Responsibilities**

Within five business days (absent extenuating circumstances) of being made aware of your need for FMLA leave, Zeta will provide you with a notice of eligibility, along with an appropriate certification form to complete and submit to Zeta so that the request for FMLA leave can be evaluated. Upon provision of sufficient information, Zeta will notify you either that (i) the leave has been designated as FMLA leave and the amount of leave to be counted against your leave entitlement or (ii) the leave is not designated as FMLA leave due to insufficient information or a non-qualifying reason. Zeta may provisionally designate the leave as FMLA leave, subject to submission of sufficient information. If you have not notified Zeta that you would like leave to be

counted as FMLA leave, you must notify Zeta of this within two business days of your return to work.

### **Prohibition on Discrimination/Retaliation**

Zeta prohibits and will not tolerate: (i) interference with, restraint, or denial of the exercise of any right provided under FMLA or (ii) the discharge of or discrimination against any person for opposing any practice made unlawful by FMLA or for involvement in any proceeding under or relating to FMLA.

### **Section 4.8: NURSING MOTHERS**

Zeta will provide time for and will make reasonable efforts to provide a room or other location in reasonably close proximity to the work area where an employee can express milk in privacy for up to three years following childbirth.

### **Section 4.9: CIVIC DUTY LEAVE**

#### **Jury Duty**

**Please inform your manager immediately upon receipt of a summons to jury duty.** If you are an exempt employee, Zeta will pay your full salary for up to a maximum of 10 business days for time spent on jury duty, and you will continue to earn all benefits during your entire jury duty leave. If you are a non-exempt employee, you will be paid \$40 for each of the first three days of jury duty service. For all employees, New York State will pay you \$40 for each day of jury duty service that is not compensated by Zeta.

#### **Witness Subpoenas**

If you receive a subpoena, including a subpoena to appear as a witness during work time or to provide testimony about Zeta, notify your manager right away. Managers must immediately notify the Advisory Team of all subpoenas.

#### **Time Off to Vote**

Zeta encourages you to participate in elections. If polls are open at least four consecutive hours before or after working hours, you should find time to vote either before or after your regular work schedule, if possible.

If necessary, you should request time off to vote from your manager at least two working days prior to Election Day. Approved time off should be scheduled at the beginning or end of the work day, whichever causes the least disruption to our normal work schedule. If you are a non-exempt employee, you will be permitted to take up to two hours of unpaid time to vote if polls are not open at least four consecutive hours before or after your work schedule.

### **Section 4.10: BEREAVEMENT LEAVE**

You are allowed up to three days of paid time off so that you can attend to your obligations and commitments following the loss of a loved one. Bereavement days will be granted for the death of an employee's spouse, parent, child, grandparent, grandchild, sibling, and in-laws. Bereavement days are also granted for the death of an employee's domestic partner or the partner's parent, child, grandparent, grandchild, or sibling.

Special consideration will also be given to any other person whose association with you was similar to any of the above relationships. In certain circumstances, Zeta may provide additional paid time off for bereavement leave, at Zeta's sole discretion.

#### **Section 4.11: OTHER TYPES OF LEAVE**

Zeta provides other forms of leave in accordance with applicable state and local law, including leaves of absence for military spouses and leaves of absence to donate bone marrow. For more information on these types of leave, contact the People & Culture Team.

### **EMPLOYEE CONDUCT**

#### **Section 5.1: STANDARDS OF CONDUCT BETWEEN EMPLOYEES AND STUDENTS/FAMILY MEMBERS**

Zeta is committed to fostering a healthy and positive educational environment for our students. In keeping with that goal, you must adhere to the following guidelines when interacting with students and their family members:

- You must never engage in any inappropriate physical contact with a student, such as kissing, caressing, brushing the body, inappropriate touching, sexual contact, slapping, pinching, punching, pushing, or physical assault. You may not use corporal punishment under any circumstances.
- You may not instruct a student to keep a “secret” from family members or any other Zeta employee or administrator, or otherwise forbid a student from sharing any conversations or information with these parties.
- You should not engage in conduct or create situations that could have the appearance of impropriety. For example, although you may have a legitimate educational reason to have a private meeting with a student, the door to the room or office should remain open, slightly ajar, or unlocked, and any windows should be uncovered. As a general rule, you should not have private interactions with students that, if observed by others, would appear to violate these guidelines – use common sense, and think about how you would view the situation if it occurred between the student and another Zeta employee.
- In general, you are strongly discouraged from meeting with students one-on-one outside of the workplace. Exceptions to this include special events, such as a one-on-one or group interaction provided as a reward for excellence in school and offered with the permission of the school leader, your manager, and the child’s parent. If it is necessary that you meet with a student one-on-one outside of the workplace, you must notify the school leader and your manager well in advance.
- Communications with a student’s family member must be professional and related to the student or Zeta business. All communications received from a student’s family member must be addressed as soon as possible, but no later than one business day. If you are not able to provide a response within one business day, you should let the student’s family member know that you are working to retrieve the requested information and when he/she can expect an answer.
- You must refrain from sexual and inappropriate behaviors directed toward, or in the presence of, a student’s family member, such as remarks of a sexual nature; suggestive jokes; threats; use of obscene or foul language; innuendos or flirtation; advances, propositions, demands or requests for inappropriate favors; or any other verbal or physical conduct of a sexual nature. A school employee may not date or engage in a sexual relationship with a family member of a student attending the same school.

Should such a relationship arise, you must immediately notify your manager and the People & Culture Team.

- In order to avoid issues such as favoritism and competition, you may only accept modest gifts from parents, families, and students that are of nominal value (e.g., a card, a letter, student art, baked goods). Any gifts that do not fall in this category must be returned. The only exception to this policy is that you may accept a reasonably modest gift from a class or Parent Association, so long as contributions for the gift were strictly voluntary and individual contributors remain anonymous.
- Note that if you have conditional or emergency conditional fingerprinting clearance, your manager will provide additional supervision until you receive full clearance. Additionally, you may not be left alone with an individual student unless granted express permission to do so by your manager or his/her designee.

The procedures for reporting violations of this policy are set forth in Section 5.13.

**Section 5.2: PERSONAL APPEARANCE / DRESS CODE**

At Zeta, we believe school uniforms are important for a unified team spirit and a strong school culture. We ask our students to be in uniform every day. Likewise, we believe all members of our organization should be dressed professionally. All faculty and staff are required to be in business or business casual attire, and to look neat and professional at all times.

ACCEPTABLE	NOT ACCEPTABLE
<ul style="list-style-type: none"> <li>● <i>For all:</i> A suit</li> <li>● <i>For men:</i> Professional-looking trousers/ khaki dress pants, and dress shirt</li> <li>● <i>For women:</i> Professional-looking dress, skirt/blouse or sweater combination (with modest necklines), or slacks/shirt combination—all dresses and skirts must be no higher than 2 inches above your knee</li> <li>● Heels</li> <li>● Dress shoes (including flats)</li> <li>● Sneakers (single-color) for school employees only</li> </ul>	<ul style="list-style-type: none"> <li>● Any shoes you would wear to the beach, such as flip-flops</li> <li>● Denim and faux denim of any kind, tight pants</li> <li>● Spaghetti straps, strapless tops</li> <li>● Sheer, tight, or low-cut tops or other clothing</li> <li>● Tops that bare the midriff</li> <li>● Shorts, sweats, and frayed/torn clothing</li> <li>● Mini skirts/dresses</li> <li>● T-shirts (even with the school logo)—Managing Directors of School may make exceptions for sports teachers</li> <li>● Hats</li> <li>● Visible tattoos or piercings (with the exception of non-excessive ear piercings; small, modest nose piercing; or small, modest tattoos)</li> <li>● Non-business-like hairstyles and unnatural hair colors (i.e., purple, blue, or green)</li> <li>● Facial hair that presents as unkempt or unprofessional appearance</li> </ul>

**Section 5.3: ROMANTIC OR SEXUAL RELATIONSHIPS**

Certain limitations on workplace dating apply, as described below:

- Both parties must mutually and voluntarily consent to the relationship.
- The relationship must not affect your judgment or performance.
- The relationship must not negatively impact the work environment.
- In the event that the relationship creates an actual conflict of interest or the appearance thereof, you must immediately notify your manager and the People & Culture Team, and you must recuse yourself from all situations where the conflict is implicated. As a best practice, we strongly encourage you to notify your manager whenever you begin a relationship with another Zeta employee.
- Employees on the People & Culture and Advisory Teams must notify their managers before engaging in any romantic relationship with any Zeta employee or contractor.
- Individuals in managerial relationships or other influential roles are subject to more stringent requirements due to their access to sensitive information and their ability to influence others. Specifically, these individuals must abide by the following additional guidelines:
  - Members of school leadership may not date any teachers or any school-based staff in the same school. Should such a situation arise, you must immediately notify your manager and the People & Culture Team.
  - Managers may not date subordinates whom they manage (whether directly or indirectly), and subordinates may not date managers who manage them (whether directly or indirectly). Should such a situation arise, you must immediately notify your manager and the People & Culture Team.
  - When a manager engages in a romantic relationship with another Zeta employee that is permitted by these guidelines, he/she must notify his/her manager and the People & Culture Team.

Employees are expected to conduct themselves in a professional manner at all times. Workplace dating or romantic relationships must not interfere with any employee's professionalism, including treating others with respect and refraining from behavior that may make others feel uncomfortable (for example, overt physical displays of affection or using sexual language).

Zeta retains discretion in its enforcement of this policy. Decisions made under this policy will be made based on operational and business reasons and without regard to any Status as described in Section 2.8. This policy is not intended to restrict communications or actions protected or required by state or federal law.

#### **Section 5.4: VISITORS IN THE WORKPLACE**

To maintain safety and security, all visitors to a Zeta facility must check in with the facility's main office. These processes must be strictly adhered to because the presence of unannounced visitors may negatively affect Zeta operations and/or schooling.

### **Section 5.5: RELATIONS WITH MEDIA, GOVERNMENT, ATTORNEYS, AND SPECIAL INTEREST GROUPS**

There may be occasions when you are contacted by members of the media, government agencies, attorneys, or special interest groups requesting information about Zeta, the industry, or other business- or education-related topics. If this situation occurs, you should ask the person making the request to contact the Managing Director of School or the Chief Executive Officer. Inform your manager and the Managing Director School (if applicable) about this interaction right away.

### **Section 5.6: CONFIDENTIAL AND PROPRIETARY INFORMATION**

During your employment at Zeta, you may learn, work with, and/or be entrusted with confidential and/or privileged information about current and former Zeta employees, administrators, students, applicants, parents, suppliers, and vendors. Confidential and privileged information includes, but is not limited to: (i) student records (including information about students' backgrounds, transcripts, disciplinary records, or personally identifying information), (ii) medical information of current and former employees, students, parents, etc., (iii) business, personnel, and payroll records, (iv) financial records, (v) curricula and instructional materials, (vi) computer programs, usernames, codes, processes, and passwords, (vii) research and development plans, financial data, proprietary technology, data, and research, (viii) any other information regarding Zeta employees, applicants, students, parents, vendors, techniques, and processes, and (ix) any other documents or information regarding Zeta operations, procedures, strategy, practices, business, research, development, and/or curricula.

You must exercise the highest degree of care in order to ensure that this information remains confidential and is not improperly or accidentally disclosed. This information may be divulged only to individuals within Zeta who have both a need and authorization to receive the information, and may never be used for your personal benefit.

Personnel/students' records may only be accessed when necessary to complete one's work responsibilities, and are only to be taken off Zeta premises if absolutely necessary and in the furtherance of a legitimate educational/work purpose.

You must remain conscious and aware of your surroundings when having Zeta-related conversations, whether on- or off-premises. If you are in doubt as to whether you are allowed to disclose certain information, err on the side of caution by not disclosing the information and discussing the situation with your manager or with the Advisory Team.

Your obligation to refrain from improperly using and disclosing confidential and privileged information continues after your employment with Zeta.

### **Section 5.7: WORK MADE FOR HIRE**

All work conceived, performed, or developed during your employment with Zeta, including, but not limited to, course materials, professional development materials, lesson plans, projects, assignments, curricula, syllabi, agendas, book content, assessments, lectures, manuals, student homework, articles, photos/videos/drawings, inventions, discoveries, and trademarks are "works made for hire." Such "work made for hire" is exclusively for the benefit of Zeta and is the sole property of Zeta, even after you leave Zeta.

### **Section 5.8: CODE OF ETHICS/CONFLICT OF INTEREST POLICY**

Zeta has Conflict of Interest Policies for employees. You are expected to comply with any

applicable policy at all times.

### **Section 5.9: TECHNOLOGY**

Refer to Addendum A – Staff Technology and Social Media Acceptable Use Policy.

### **Section 5.10: RESPECT IN THE WORKPLACE AND ANTI-HARASSMENT POLICY**

Harassment is unwelcome conduct, whether verbal, physical, or visual, which is based on a person's Status (as defined in Section 2.8). Harassment that adversely affects job benefits, has the purpose or effect of unreasonably interfering with an individual's work performance, or has the purpose or effect of creating an intimidating, hostile, or offensive work environment will not be tolerated.

Harassment includes, but is not limited to: derogatory remarks; slurs or negative stereotyping; threatening, intimidating, or hostile acts; epithets; offensive jokes; the display or circulation of offensive printed, visual, or electronic material; or offensive physical actions.

### **Section 5.11: SEXUAL HARASSMENT POLICY**

It is imperative that all employees and members and officers of the Board at Zeta Charter Schools and/or Zeta Charter Schools - New York City be permitted to work in environments free from unwanted sexual harassment and from retaliation for reporting harassment. An environment in which sexual harassment exists at any level is offensive and will not be tolerated by Zeta. Please see Addendum C for Zeta's Sexual Harassment Policy. It is the responsibility of all employees to read, understand, and follow this policy.

### **Section 5.12: ANTI-RETALIATION POLICY**

There will be no adverse action taken against you for reporting violations of the above policies in good faith or participating in the investigation of such violations. If you believe that you have been the victim of prohibited retaliation, or have witnessed retaliation, you must immediately notify your manager, any manager with whom you are comfortable, the People & Culture Team, or the Advisory Team so that the situation can be promptly investigated and remedied.

### **Section 5.13: RAISING WORKPLACE CONCERNS AND COMPLAINT PROCEDURE**

Zeta strongly urges you to report all incidents of potential discrimination, harassment, and retaliation, regardless of the identity, status, or position of the alleged offender. Whether the alleged offender is a manager, co-worker, or even a non-employee doing business with Zeta, a report should be made.

If you believe that you have witnessed or been subjected to, or have knowledge about, conduct or behavior that may be contrary to our policies concerning respect in the workplace (or equal employment opportunity, as described in Section 2.8), we urge you to immediately (i) advise the offender that his/her behavior is unwelcome and (ii) ask that it be discontinued. You should also promptly report your concerns to any one of the following designated contacts: (i) your manager, (ii) any manager with whom you are comfortable, (iii) a People & Culture representative, (iv) a member of the Advisory Team, or (v) submit a report in accordance with Zeta's Perceived Violation Policy (see Addendum B). Managers are required to report such conduct or behavior immediately, regardless of how they learned of it. Anonymous reports may be submitted in writing to the Advisory Team, the People & Culture Team, and/or the Governance or Executive Committee Chairperson at the addresses provided in Addendum B.

If you have experienced conduct that you believe is contrary to Zeta's policies concerning respect in the workplace or equal employment opportunity as described in Section 2.8, you

should take advantage of this reporting procedure. Your failure to use this reporting procedure could affect your rights in pursuing legal action. Also, please note that federal, state, and local anti-discrimination laws establish specific time frames for initiating a legal proceeding pursuant to those laws.

Zeta will conduct a prompt, thorough, and impartial investigation of any allegations reported through this procedure. During the investigatory process, Zeta will use its best efforts to maintain confidentiality to the extent consistent with adequate investigation and appropriate corrective action. Any individual who knowingly makes a false report or provides false information during an investigation will be subject to disciplinary action.

#### **Section 5.14: FIREARMS, WEAPONS, AND THREATS OF VIOLENCE**

Possession of firearms and other weapons on Zeta premises, while conducting business on behalf of Zeta, and/or at Zeta-sponsored events is strictly prohibited. A “weapon” is any item that could be used for the purpose of inflicting bodily injury, and may include items that are legal to own. Zeta also enforces a strict zero-tolerance policy against all acts, threats, and/or intimations of violence, particularly when directed at our students, families, or staff. Zeta does not accept excuses for acts, threats, or intimations of violence, or accept them as “slang” or a “joke.” Therefore, if a student or a staff member engages in any of the foregoing conduct, you must notify your manager and the Advisory Team immediately.

#### **Section 5.15: ZERO TOLERANCE – ALCOHOL AND ILLEGAL DRUGS**

Zeta has a zero tolerance policy on the illegal use, possession, sale, and distribution of drugs and alcohol. You are also prohibited from being under the influence of alcohol or illegal drugs while on Zeta property and at Zeta functions. Your manager may make an exception to this policy for the legal and limited consumption of alcohol at a specific Zeta function or event. The legal use of prescribed drugs is permitted only if it does not impair your ability to perform the essential functions of your job and does not pose a direct threat to others.

#### **Section 5.16: WORKPLACE SEARCHES**

In order to protect the property and personal safety of the Zeta community, Zeta reserves the right to conduct personal searches consistent with state and federal law, and to inspect any packages, parcels, purses, handbags, briefcases, lunch boxes, or any other possessions carried to and from Zeta property. Additionally, all offices, desks, files, lockers, equipment, etc., are considered to be the property of Zeta and may be inspected at any time at Zeta’s discretion.

Persons entering Zeta premises who refuse to cooperate with an inspection conducted pursuant to this Workplace Searches policy may be prohibited from entering the premises. Employees working on, entering, or leaving the premises who refuse to cooperate in an inspection, as well as employees who after the inspection are believed to be in possession of stolen property or controlled substances, are in violation of Zeta policy, and appropriate action will be taken.

## Addendum A

# ZETA CHARTER SCHOOLS ZETA CHARTER SCHOOLS - NEW YORK CITY

## STAFF TECHNOLOGY, INTERNET SAFETY, AND SOCIAL MEDIA ACCEPTABLE USE POLICY

Zeta Charter Schools / Zeta Charter Schools - New York City (“Zeta”) believes that technology can be an extraordinary tool to enhance our teaching and learning environment. To comply with federal laws, establish a safe school community, and to ensure that technology and social media are used in a responsible and professional manner, we have developed an Internet safety and acceptable use policy for all Zeta staff.

In this policy, we address the use of Zeta’s technology resources (*i.e.*, provided by Zeta) **AND** the use of technology resources in general. This policy covers **BOTH** on-campus and off-campus conduct **that involves Zeta’s technology resources**.

**Additionally**, this policy covers **ALL** use of **ANY** technology resources (not just Zeta’s technology resources), **including off-campus use**, where such use may violate rules of appropriate professional conduct and/or create a risk of substantial disruption to the work of Zeta and its discipline and order.

### DEFINITIONS

- **“Staff”** includes Zeta’s employees, consultants, student teachers, interns, temporary workers, volunteers, and others who do work for Zeta.
- **“Technology resources”** include, but are not limited to, any of the following: computers, tablets, mobile devices, printers, copiers, scanners, televisions, telephones, the network, software applications, Internet applications, and school accounts on collaborative websites. (When referring to technology resources belonging to Zeta, this policy refers specifically to **“Zeta’s technology resources.”**)
- **“Social media”** includes Facebook, Instagram, Snapchat, MySpace, Twitter, YouTube, Wikipedia, blogs, personal email, chat rooms, instant messaging, and other forms of direct electronic communication, photo and video sites, and other online services, in existence now or later developed, where people connect and share information.

### GENERAL TERMS

- Be a role model when using technology resources. Your use of Zeta’s technology resources should support Zeta’s educational objectives and be appropriate for a school setting.

- All staff conduct guidelines and policies, including, but not limited to, those set forth in the Employee Handbook, are applicable.
- You are expected to know and enforce the Student Technology, Internet Safety, and Social Media Acceptable Use Policy. You should monitor students' use of technology resources at school and continually educate them about safe and appropriate online behavior.
- Zeta is not responsible for the loss of data, files, or other information stored on Zeta technology resources or on the Zeta system.
- Violations of this policy may result in the loss of technology privileges and/or disciplinary action (reprimand, suspension, termination, or other consequences).

### **COMMUNITY SAFETY, WELL-BEING, AND PRIVACY**

- Be careful when posting content online. Assume that all social media venues are public (even when you use strict privacy settings, which we strongly recommend), and make sure your conduct is appropriate for a school setting.
- The use of inappropriate language or offensive, harassing, bullying (including but not limited to "cyber-bullying"), or discriminatory conduct will not be tolerated.
- Don't view, send, or display inappropriate messages or pictures, including those that (a) are obscene, pornographic (including child pornography), or harmful to minors, (b) would jeopardize any individual's physical or emotional well-being, or (c) would be generally disruptive of Zeta's educational purpose.
- Don't post pictures or videos of illegal activity, or activity that would be inappropriate for students, their families, your colleagues, and/or managers to see (including pictures or videos of you visibly drunk or consuming alcohol underage, or otherwise engaging in illegal or inappropriate behavior).
- Don't post pictures or videos of students on your personal social media venues unless Zeta has a signed media release for them. All rules regarding confidential information apply to social media (see Section 5.6 of the Employee Handbook).
- Don't transmit confidential information belonging to Zeta over the Internet without express permission.
- Before posting or sharing a link to other websites or content, read what you're linking to and make sure it's appropriate for a school setting.
- To promote a proper school environment, you may not "friend" students on your personal social media venues, nor should you "friend" family members of students attending your school, or accept their "friend" requests on such venues. However, you are encouraged to set up and use separate professional social media accounts, and, of course, feel free to "friend" students and family members through these professional accounts.

- Never share your Zeta passwords or login information with others.
- Don't misrepresent yourself online.
- Don't post anything that threatens bodily, emotional, or reputational harm.
- Don't "hack" or access unauthorized computers.
- There's no expectation of privacy when it comes to use of Zeta's technology resources. Anything on Zeta's technology resources can be accessed, reviewed, copied, disclosed, and/or deleted for any reason.
- All communications, pictures, videos, and other information and materials transmitted by, received from, or stored on Zeta's computer systems are Zeta's records and Zeta's property. By placing information and materials on Zeta's computer systems, you give Zeta the right to edit, delete, copy, re-publish, and distribute such information and materials.
- To the extent practical, Zeta maintains filtering software that may block certain content and/or websites on its technology resources. Zeta may disable filtering software for *bona fide* research purposes.

#### **ADDITIONAL CONDUCT EXPECTATIONS**

- Brief and infrequent use of the Internet and email for personal purposes during work hours is permitted so long as such use is appropriate for a work setting and does not interfere with your professional obligations or the interests of students.
- Be cautious when downloading or opening email attachments, particularly if you don't know the sender.
- Don't use Zeta's technology resources for commercial gain or gambling, for illegal purposes, or for other purposes that would violate the terms any applicable Zeta policies or interfere with Zeta's tax-exempt status.
- Respect the rights of copyright owners. Don't copy, photocopy, or download protected books, music, movies, pictures, and/or other intellectual property without express permission. Plagiarism rules apply; always give credit where it is due.
- Don't tamper with Zeta's security settings or programs. Only software authorized by Zeta may be installed on Zeta's technology resources. Don't copy, transfer, or misuse Zeta's licensed software.
- Use Zeta's technology resources responsibly. Be mindful of others when using shared printers, photocopiers, and other technology resources. Conserve resources like paper and printer ink. Zeta phones, photocopiers, faxes, scanners, etc. are provided for business, not personal, use.

#### **PERSONAL RESPONSIBILITY**

- Use good judgment. You are individually accountable for your conduct online. The information you produce, view, and share reflects on you, your colleagues, your employer, and the Zeta community.
- Ask a manager if you're not sure whether certain use or conduct is appropriate.
- Lock up your technology resources (e.g., laptops, tablet computers, cell phones) in a secure place when not in use!
- Report violations of this policy, as well as any damage, theft, loss, or misuse of Zeta's technology resources, to your manager as soon as they occur. We are **all** responsible for ensuring a safe and appropriate school environment.
- You must return Zeta's technology resources to your manager, to the People & Culture Team, or to the Operations Team immediately upon request or at the end of your employment. Authorization to access and utilize Zeta's technology resources ends with your employment, regardless of whether your access has been terminated.

Maintaining school order and protecting Zeta's technology resources require flexibility in school policies. Accordingly, the above list is representative and is not meant to be exhaustive.

## Addendum B

# ZETA CHARTER SCHOOLS ZETA CHARTER SCHOOLS - NEW YORK CITY

## PERCEIVED VIOLATIONS POLICY WHISTLEBLOWER PROTECTIONS

Zeta Charter Schools / Zeta Charter Schools - New York City (“Zeta”) is committed to lawful and ethical behavior in all of its activities, and requires that its Board of Trustees and/or Directors, officers, and employees act in accordance with all applicable laws, regulations, ethical standards, and policies.

### **Duty to Report**

Any Zeta director, trustee, officer, employee, temporary employee, intern, or consultant who has engaged in, or who reasonably suspects any other director, officer, employee, or consultant of engaging in any violation of the law, regulations, ethical rules, or any Zeta policy must report such activity as soon as possible. Such activity may include, but is not limited to, financial improprieties, fraud, or any other illegal, improper, and/or unethical conduct.

To the extent feasible, subjects on which Zeta has existing complaint mechanisms should be addressed under those mechanisms, such as raising matters of alleged discrimination or harassment to one’s manager, Zeta’s Advisory Team, and/or the People & Culture Team, unless those channels are themselves implicated in the wrongdoing. This policy is not intended to provide a means of appeal from outcomes in those other mechanisms.

### **Reporting Procedures**

Employees may submit a report, preferably in writing, to their manager, to the Advisory Team, to the People & Culture Team, to the Chief Executive Officer (the “CEO”), or to the Chairperson of the Governance or Executive Committee of Zeta’s Board of Trustees and/or Directors (the “Board”) at the addresses provided below. We strongly urge employees to make such reports within twenty-four (24) hours of learning of the conduct that is the subject of the report.

### **Advisory Team:**

Advisory Team  
Zeta Charter Schools  
222 Alexander Avenue  
Bronx, NY 10454

### **People & Culture Team:**

People & Culture Team

Zeta Charter Schools  
222 Alexander Avenue  
Bronx, NY 10454

**Governance or Executive Committee Chairperson:**

Chairperson of the Governance or Executive Committee of the Board of Directors  
Zeta Charter Schools or Zeta Charter Schools - New York City  
222 Alexander Avenue  
Bronx, NY 10454

Reports made to Zeta managers, the People & Culture Team, or the CEO must be immediately referred to the Advisory Team. The Advisory Team will ensure that reports made or referred to them are addressed in a timely and sensitive manner, and will report relevant information to the Governance or Executive Committee or the Board as the Advisory Team deems necessary and appropriate.

The Governance or Executive Committee will delegate to the Advisory Team the duty to investigate the complaint and report to the Governance or Executive Committee and/or full Board as necessary and appropriate, except when the complaint concerns a member of Zeta's senior management team, in which case the Governance or Executive Committee will retain the duty to investigate the complaint and report to the Board as necessary and appropriate.

Anonymous reports may be submitted in writing to the Advisory Team, the People & Culture Team, and/or the Governance or Executive Committee Chairperson at the addresses provided above. The obligation to report a violation of a law, regulation, or Zeta policy is not satisfied by the individual reporting his/her own violation anonymously. Despite any designation to the contrary, no employee may file an "unofficial" or "off-the-record" report.

Confidentiality will be maintained throughout the investigation to the extent reasonable and practicable under the circumstances, and consistent with appropriate investigative and corrective action.

**No Retaliation**

Zeta prohibits adverse employment action or other retaliation against any individual who makes good-faith complaints, reports, or inquiries under this Policy or participates in a review or investigation under this Policy. Intimidation, coercion, threats, or discrimination against any individual who reports suspected wrongdoing is prohibited and will be subject to appropriate disciplinary action, which may include termination.

## Addendum C

# ZETA CHARTER SCHOOLS ZETA CHARTER SCHOOLS – NEW YORK CITY SEXUAL HARASSMENT POLICY

Sexual harassment is a form of sex discrimination that violates Title VII of the Civil Rights Act of 1964 and its state and local equivalents. It is imperative that all Zeta Charter Schools and Zeta Charter Schools - New York City (together, "Zeta") employees, consultants, student teachers, interns, temporary workers, volunteers, and other workers ("**Staff**") and members and officers of the Board of Directors of Zeta Charter Schools or the Board of Trustees of Zeta Charter Schools - New York City be permitted to work in environments free from unwanted sexual harassment and from retaliation for reporting such harassment. An environment in which sexual harassment exists at any level is offensive and will not be tolerated by Zeta. With respect to sexual harassment, the purpose of this policy is to ensure that no Staff member harasses another on the basis of sex. For the purpose of this policy, sexual harassment, as defined by the Equal Employment Opportunity Commission, means unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual, or (3) such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

Sexual harassment covers a wide range of behaviors. Generally, sexual harassment is any behavior in the workplace that:

- Relates to gender or sexuality;
- Is intentional or repeated;
- Is unwanted and not returned;
- Interferes with a person's ability to do his or her job; and
- Has an effect on working conditions.

The following are some examples of actions that could be sexual harassment if the behavior is unwelcome:

- Demands for sexual favors in exchange for favorable treatment or continued employment;
- Sexual innuendos or remarks about a person's sexual activities;
- Repeated and unwanted remarks about a person's clothing, body, or appearance;
- Suggestive or insulting sounds;
- Unwanted sexually oriented jokes, remarks or humor;
- Repeated and unwanted romantic advancements;
- Explicit pictures or screensavers;
- Inappropriate emails or text messages;
- Excessive or inappropriate references to another's appearance;
- Actual kissing or fondling, leering, whistling, or ogling;
- Making obscene gestures;

- Sexual proposition, invitations, or other pressure for sex;
- Physical contact of a sexual nature (or any other unwanted, repeated physical contact) such as patting, pinching, grabbing or other inappropriate touching or feeling;
- Brushing against another person's body.

Any employee who feels that he or she has been subjected to or witnessed discrimination or harassment, whether based on sex or any other protected characteristic, and anyone who is otherwise aware of discriminatory or harassing actions, should immediately report the matter to either his or her manager, a People & Culture representative, or a member of the Advisory Team.

If a complaint involves a manager or supervisor or anybody who supervises the manager or supervisor, the complaint should be reported directly to a People & Culture representative or a member of the Advisory Team. Any supervisor who receives a complaint from any employee must immediately report the matter to a People & Culture representative and a member of the Advisory Team. If a complaint involves a People & Culture representative or anybody who supervises that representative, then the complaint should be reported directly to a member of the Advisory Team. If a complaint involves an Advisory Team representative, or anybody who supervises that representative, then the complaint should be reported directly to a member of the People & Culture Team. A complaint may also be made to the Board of Directors of Zeta Charter Schools or the Board of Trustees of Zeta Charter Schools - New York City.

All complaints and subsequent investigations will be handled expeditiously and with due regard for the concerns of all parties involved. Feedback to involved parties, as appropriate, will be provided at reasonable time intervals during and upon completion of an investigation. The purpose of this provision is to protect the employee who initiates a complaint, to encourage the reporting of incidents of discrimination or harassment, and to protect the reputation of any employee wrongfully charged with the same.

Supervisors are subject to disciplinary action if they tolerate harassment or fail to take appropriate corrective action on reports of harassment. This policy prohibits any retaliatory action against an employee for filing a complaint or assisting in an investigation of alleged violation of this policy. However, false and malicious complaints of sexual or other prohibited harassment (as opposed to complaints that, even if erroneous, are made in good faith) will not be tolerated.

Substantiated claims of discrimination against, or harassment of, another employee will result in appropriate disciplinary action up to and including termination of employment for cause.

**EMPLOYEES WHO HAVE EXPERIENCED CONDUCT THEY BELIEVE IS CONTRARY TO THIS POLICY ARE ENCOURAGED TO TAKE ADVANTAGE OF THIS COMPLAINT PROCEDURE.**

**13. Partner Organizations**

**(a) Partner Information**

The proposed schools will not have significant relationships with partner organizations.

**13. Partner Organizations**

**(b) Partner Commitment**

This request is not applicable. The proposed schools will not have significant relationships with partner organizations.

## **14. Governance**

### **(a) Education Corporation Board Members**

Each of the proposed schools will be governed by the Board of Trustees of Zeta Schools NYC. In recruiting and selecting board members for the Zeta Schools NYC board, Zeta looks for individuals with experience and demonstrated interest and/or experience in the education reform and charter school movements. In addition, demonstrated experience in relevant fields such as law, finance, and operations is sought. To recruit Board members, Zeta Schools NYC's leadership partners with current members of the Board to solicit interested and qualified individuals. Zeta Schools NYC will also work with individuals who independently reach out with an interest to become Board members.

Each of Zeta's board members is deeply committed to bringing high-quality educational opportunities to underserved communities, and the board as a whole brings with them extensive experience in education reform.

Zeta Schools NYC's board chairperson, Jenny Sedlis, is the Executive Director of StudentsFirstNY, a leading education reform organization dedicated to improving public schools throughout New York. Ms. Sedlis co-founded Success Academy Charter Schools with Eva Moskowitz in 2006 and helped grow the network to 22 schools in eight years. She received national recognition for leading the organization's pioneering advocacy and parent organizing work.

Keri Hoyt is the President of Noodle Partners, a start-up company disrupting the world of postsecondary online education. Ms. Hoyt served for seven years as Executive Vice President of Schooling and Chief Operating Officer of Success Academy Charter Schools, managing all aspects of running Success Academy through a period of intense growth, while ensuring that the schools continuously rated among the best public schools in New York.

Shannon Kete is Chief Delivery Officer at CLS, a global foreign exchange settlement bank. Ms. Kete was a member of the inaugural class of the Broad Residency in Education Program in 2003, while also serving in the Chancellor's Office of the NYC public school system during the early days of the Children First reform effort. Ms. Kete spent time at the helm of Project Lead The Way, as its Chief Operating Officer and Acting President. She then served as Chief Operating Officer and Senior Managing Director of Operations at Success Academy Charter Schools, where she developed operational capacity to grow the network from seven to 23 schools in two years and introduced competitive benchmarking across schools. Before joining CLS, Ms. Kete worked at Amplify as Chief Operating Officer of the Learning Division and Senior Vice President of Sales.

Nicole Brisbane is the New York State Executive Director for Democrats for Education Reform, an organization committed to reforming public education to improve student outcomes. A public school and public university graduate, she taught middle school ELA to students who were four or more years behind their peers. After attending law school and serving as a public defender in juvenile court in Georgia, Ms. Brisbane spent four years working for Teach For America in Miami-Dade County, focused on growth strategy and community partnerships and leading national new site development efforts.

Samara Penn Savary is Senior Counsel, Litigation, at Bristol-Myers Squibb Company. Ms. Savary was previously a partner at Kirkland & Ellis LLP, during which time she litigated many

education reform cases, including cases involving co-location and facilities access for charter schools.

Additional information about Zeta Schools NYC’s board members’ extensive experience is available in **Response 14h - Board Member Resumes**.

Trustee Name	Position on the Board (Officer or Constituent Rep.) <sup>1</sup>	Committee Affiliations (If Any)	Expertise and/or Role at School (Parent, Staff, Etc.)	Voting	Ex-Officio
Jenny Sedlis	Chairperson	N/A	N/A	Yes	No
Keri Hoyt	Board Treasurer	N/A	N/A	Yes	No
Shannon Kete	Board Secretary	N/A	N/A	Yes	No
Samara Penn Savary	N/A	N/A	N/A	Yes	No
Nicole Brisbane	N/A	N/A	N/A	Yes	No

**(b) Education Corporation Board Roles and Responsibilities**

The Board of Trustees of Zeta Schools NYC will have ultimate authority on school issues including, but not limited to, fiscal and academic decisions. The Board of Trustees will follow all applicable laws governing frequency of meetings. During these meetings, the Board of Trustees will review student performance data including assessment results and student culture data, as well as financial statements, including budget projections, balance sheets, and cash flow statements. The examination of these documents will allow the Board of Trustees to make informed decisions regarding the academic and fiscal soundness of each school.

The Chief Executive Officer and Managing Director of Academics of Zeta CMO will search for a Managing Director of School/Principal candidate for each proposed school and submit the candidate to the Board of Trustees for approval. If approved, the Board of Trustees will delegate authority for the day-to-day operations of each school to the Managing Director of School/Principal and to Zeta CMO. The Managing Directors of School/Principal will oversee all school operations, including instruction, and report directly to Zeta CMO and the Board of Trustees. The Board of Trustees believes that delegating this authority to the Managing Directors of School/Principal is the best way to hold them accountable for school performance.

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<sup>1</sup> Zeta Schools NYC seeks to appoint a Vice Chairperson from among its existing board members in Winter/Spring 2019.

The Managing Director of School/Principal will attend Board of Trustees meetings periodically throughout the year to discuss school performance and the quality of teaching and learning, school culture, and operations at his or her school, which may include issues related to special education, English Language Learners, and/or at-risk students. Trustees will also be given student assessment data, student attendance and discipline data, budget data, and parent satisfaction data. This direct reporting by the Managing Directors of School/Principals to the Board of Trustees and presentation of data and reports related to school performance will allow the Board of Trustees to evaluate and hold accountable the Managing Directors of School/Principals for the school's performance. The Board of Trustees will also be involved in reviewing periodic surveys of school performance and employee satisfaction, which data will aid the Board of Trustees in assessing the health of the school.

Zeta Schools NYC's leadership and certain Zeta CMO officers will be present at meetings of the Board of Trustees in order to present information related to the activities carried out for the school. Examples of information that will be presented to the Board of Trustees includes, but is not limited to, staff application and hiring data, student recruitment goals and statistics, and school budget forecasting. The presentation of this information will allow the Board of Trustees to hold Zeta Schools NYC's leadership and Zeta CMO accountable and to evaluate performance.

The Board of Trustees will also have separate annual meetings with teachers, school leaders, and school operations staff. These meetings will provide an opportunity for the Board of Trustees to hear directly from school employees regarding the state of their school and will allow school employees an opportunity to express to the Board of Trustees their thoughts and concerns about their school.

On an annual basis, the Board of Trustees will conduct a formal review of Zeta Schools NYC's leadership.

The Board of Trustees will require detailed reporting from Zeta Schools NYC's leadership and Managing Directors so that it can monitor each school. As noted above, the Board of Trustees will also be provided with relevant information in real time. The Board of Trustees will use comparative analysis for each of the schools operated by Zeta Schools NYC to make sure best practices and lessons learned are shared, and that each school is being managed effectively and efficiently.

### **(c) Education Corporation Board Design**

The Board of Trustees of Zeta Schools NYC will consist of at least five members. The Board will nominate members to the positions of Chairperson, Vice Chairperson, Treasurer, and Secretary, and any other officers the Board deems advisable. There may be one (or more) ex-officio, non-voting seat(s) on the Board reserved for the parent of a child matriculating at one of the schools operated by Zeta Schools NYC. All other members of the Board will be voting members.

New Board members will be provided with required documents and other relevant materials to orient them with respect to school management and operation. These documents will include, but not be limited to, the: the Board By-Laws, budget summaries, school culture and assessment data, the Financial Policies and Procedures Manual, and the schools' formal Complaint Policy. The Board will be provided with updated versions of such documents as

available, and Zeta Schools NYC's leadership will provide information at Board meetings on specific issues related to each Zeta school.

Qualifications for Board members include, but are not limited to, a strong background in education, education reform, law, finance, operations, or another relevant field and a commitment to educating children. Each Board member listed in **Response 14a - Board Members** meets these qualifications. To seek additional Board members, Zeta Schools NYC's leadership will actively partner with current members of the Board to solicit interested and qualified individuals. Zeta Schools NYC will also work with individuals who independently reach out with an interest to become Board members. Ultimately, the Board is autonomous and selects and nominates its own members.

The Board will meet, at minimum, six times per year (or as otherwise required by law). Additionally, the Board will gather, as it deems appropriate, at meetings with Zeta leadership, Managing Directors of School/Principals, Academic and Operations Directors, teachers, and other school staff. The Board meetings will be publicized in accordance with Open Meeting Laws, including notifying the media of upcoming board meetings and posting notices of each Board meeting publicly, including on Zeta's website. Zeta Schools NYC's leadership or a delegee will be selected to record the minutes of each meeting in accordance with § 106 of the Open Meetings Law.

The Board will receive information, including, but not limited to, reports on: financial and budgetary matters, school testing and culture data, hiring data, student attendance data, lottery applications and enrollment, and teacher/school leader satisfaction and job performance. As discussed above, the Board will delegate authority for the day-to-day operations of the school to the Managing Directors of School/Principals and will have authority to delegate other responsibilities to the Managing Directors of School/Principals or others as the Board deems it necessary or appropriate.

The Board will have ultimate authority on school issues including, but not limited to, fiscal and academic decisions.

The Board will hear and address any formal complaints brought by parents in accordance with applicable law. The Zeta Schools NYC procedure for complaints brought by parents or staff is laid out in **Response 14(g) – Complaint Policy**, a copy of which will be available at each school.

The Board of Zeta Schools NYC firmly believes that the roles and responsibilities and structure described throughout this Response reflect its ability to effectively run the schools.

#### **(d) Stakeholder Participation**

Stakeholders from the school community, including parents and school staff, are able to participate in school governance by attending the Board's regular meetings, which are noticed pursuant to Open Meetings Law, as described above. Additionally, the Board periodically reserves time within its meetings to meet separately with school staff, including teachers, and with parents. Between Board meetings, there are a variety of ways that stakeholders can contact Board members to express views related to school governance, including, but not limited to, through the Managing Directors of School/Principals, the Board's parent representative, if applicable, or through the Board Complaint Policy.

## **14. Governance**

### **(e) Bylaws**

# **ZETA CHARTER SCHOOLS – NEW YORK CITY BYLAWS ADOPTED DECEMBER 1, 2017**

## **ARTICLE I: NAME**

The name of the Corporation is ZETA Charter Schools – New York City (hereinafter the “Corporation”).

## **ARTICLE II: MEMBERSHIP**

The Corporation has no members. The rights that would otherwise vest in the members vest in the Trustees of the Corporation (hereinafter the “Trustees”). Actions that would otherwise require approval by a majority of all members or approval by the members require only approval of a majority of all Trustees or approval by the Board of Trustees (hereinafter the “Board”).

## **ARTICLE III: BOARD OF TRUSTEES**

**A. Powers.** The Board shall conduct or direct the affairs of the Corporation and exercise its powers, subject to the applicable provisions of the New York Education Law, as amended (the “Education Law”), the New York Not-for-Profit Corporation Law, as amended (the “Not-for-Profit Corporation Law”), the charter agreement between the Corporation and the Board of Trustees of the State University of New York (the “Charter Entity”), as the same may be amended from time-to-time (the “Charter Agreement”), the Corporation’s Provisional Charter, as may be amended from time-to-time (together with the Charter Agreement, the “Charters”), and these Bylaws. The Board may delegate the management of the activities of the Corporation to others, so long as the affairs of the Corporation are managed, and its powers are exercised, under the Board’s ultimate jurisdiction.

Without limiting the generality of the powers hereby granted to the Board, but subject to the same limitations, the Board shall have all the powers enumerated in these Bylaws, and the following specific powers:

1. To elect and remove Trustees;
2. To select and remove Officers, agents, and employees of the Corporation; to prescribe powers and duties for them; and to fix their compensation;

3. To conduct, manage and control the affairs and activities of the Corporation, and to make rules and regulations;
4. To enter into contracts, leases and other agreements that are, in the Board's judgment, necessary or desirable in obtaining the purposes of promoting the interests of the Corporation;
5. To carry on the business of operating charter schools and apply any surplus that results from the business activity to any activity in which the Corporation may engage;
6. To act as trustee under any trust incidental to the Corporation's purposes, and to receive, hold, administer, exchange and expend funds and property subject to such a trust;
7. To acquire real or personal property, by purchase, exchange, lease, gift, devise, bequest, or otherwise, and to hold, improve, lease, sublease, mortgage, transfer in trust, encumber, convey or otherwise dispose of such property;
8. To borrow money, incur debt, and to execute and deliver promissory notes, bonds, debentures, deeds of trust, mortgages, pledges, hypothecations, and other evidences of debt and securities;
9. To lend money received only from private sources and to accept conditional or unconditional promissory notes therefore, whether interest or non-interest bearing, or secured or unsecured; and
10. To indemnify and maintain insurance on behalf of any of its Trustees, Officers, employees, or agents for liability asserted against or incurred by such person in such capacity or arising out of such person's status as such, subject to the provisions of the Not-for-Profit Corporation Law and the limitations noted in these Bylaws.

**B. Number of Trustees.** The number of Trustees of the Corporation shall be no fewer than five (5) and shall not exceed twenty-five (25). The Board shall fix the exact number of Trustees, within these limits, by Board resolution or amendment of these Bylaws.

**C. Election of Trustees.**

1. Election. The Board shall elect the Trustees by the vote of a majority of the Trustees then in office, whether or not the number of Trustees in office is sufficient to constitute a quorum, or by the sole remaining Trustee. Trustees-elect assume office subject to approval by the Charter Entity.

2. Eligibility. The Board may elect any person who in its discretion it believes will serve the interests of the Corporation faithfully and effectively, subject to any eligibility requirements set forth in the Charters or the Not-for-Profit Corporation Law, as applicable.

3. Interested Persons. Not more than 49 percent of the persons serving on the Board may be interested persons. An "interested person" is: (1) any person currently being compensated by the Corporation for services rendered to it within the previous twelve (12) months, whether as a full-time or part-time employee, independent contractor, or otherwise to the extent allowable by the New York General Municipal Law (the "General Municipal Law"); or (2) any sister, brother, ancestor, descendant, spouse, sister-in-law, brother -in-law, daughter-in-law, son-in-law, mother-in-law, or father-in-law of any such person.

a. Organizational Affiliation. Not more than 40 percent of the persons serving on the Board may be a trustee or employee of a single organization with the exception of another charter school education corporation.

b. Ex-Officio Members. There may be one or more *ex-officio* seats on the Board. One such seat may be a non-voting seat filled by a parent of a child matriculating in a charter school operated by the Corporation. Non-voting Trustees shall not count for purposes of quorum.

4. Term of Office.

a. Trustees are elected to terms of three (3) years, and may not be elected to more than two consecutive terms; provided, however, any Trustee who holds an Officer position at the end of his or her second consecutive Trustee term may be elected to subsequent renewable one (1) year Trustee terms as a voting *ex-officio* member. Each *ex-officio* Trustee shall retain his or her position as an Officer of the Board, and shall serve at the pleasure of the Board, holding office until his or her resignation, death, removal, or disqualification from service, or until his or her successor is elected.

b. The term of office of a Trustee elected to fill a vacancy in these Bylaws begins on the date of the Trustee's election and continues: (1) for the balance of the unexpired term in the case of a vacancy created because of the resignation, removal, or death of a Trustee or (2) for the term specified by the Board in the case of a vacancy resulting from the increase in the number of Trustees authorized.

c. A Trustee's term of office shall not be shortened by any reduction in the number of Trustees resulting from amendment to any Charter or these Bylaws or any Board action.

d. A Trustee's term of office shall not be extended beyond that for which the Trustee was elected by amendment of any Charter or these Bylaws or other Board action.

e. Trustees shall be divided into one of three classes: Class A, Class B, or Class C, and an effort shall be made to keep the class sizes approximately equal. Trustees in Class A shall have their terms expire on June 30, 2021 (and every three years thereafter). Trustees in Class B shall have their terms expire on June 30, 2022 (and every three years thereafter). Trustees in Class C shall have their terms expire on June 30, 2023 (and every three years thereafter).

5. Time of Elections. The Board shall elect Trustees whose terms begin on July 1st of a given year at the Annual Meeting for that year, or at a Regular Meeting designated for that purpose, or at a Special Meeting called for that purpose.

**D. Removal of Trustees.** The Board may remove a Trustee in accordance with the applicable provisions of the Education Law and the Not-for-Profit Corporation Law. The Board may also remove a Trustee for failing to attend at least four (4) of the six (6) Board meetings scheduled during the school year. In addition, any Trustee who is absent from three (3) consecutive meetings, without excuse accepted as satisfactory by the Board, shall be deemed to have resigned.

**E. Resignation by Trustee.** A Trustee may resign by giving written notice to the

Board Chairperson or Secretary. The resignation is effective upon receipt of such notice, or at any later date specified in the notice. The acceptance of a resignation by the Board Chairperson or Secretary shall not be necessary to make it effective, but no resignation shall discharge any accrued obligation or duty of a Trustee.

**F. Vacancies.** A vacancy is deemed to occur on the effective date of the resignation of a Trustee, upon the removal of a Trustee, upon declaration of vacancy pursuant to these Bylaws, or upon a Trustee's death. A vacancy is also deemed to exist upon the increase by the Board of the authorized number of Trustees.

**G. Compensation of Trustees.** Trustees shall serve without compensation. However, the Board may approve reimbursement of a Trustee's actual and necessary expenses while conducting Corporation business.

#### **ARTICLE IV: PRINCIPAL OFFICE**

The Corporation's principal office shall be at the following address: ZETA Charter Schools – New York City; % Emily A. Kim; 160 West 85th Street, 2B; New York, NY 10024; or at such other place as the Board may select by resolution or amendment of these Bylaws. The Secretary shall note any change in office on the copy of these Bylaws maintained by the Secretary.

#### **ARTICLE V: MEETINGS OF THE BOARD**

**A. Place of Meetings.** Board Meetings shall be held at the Corporation's principal office or at any other reasonably convenient place as the Board may designate.

**B. Annual Meetings.** An Annual Meeting shall be held in the month of June of each year for the purpose of electing Trustees, making and receiving reports on corporate affairs, and transacting such other business as comes before the meeting.

**C. Regular Meetings.** Regular Meetings shall be held each year on dates determined by the Board. At a minimum, Board meetings shall be held six (6) times per year.

**D. Special Meetings.** A Special Meeting shall be held at any time called by any Trustee upon written demand of not less than one-half (1/2) of the entire Board. A Special Meeting shall also be held at any time called by the Chairperson or, in his or her absence, by the most senior Trustee upon written demand of three (3) Trustees. Seniority shall be determined according to the order in which the Trustees are named in the Provisional Charter or subsequently elected.

**E. Adjournment.** A majority of the Trustees present at a meeting, whether or not a quorum, may adjourn the meeting to another time and place.

**F. Notices.** Notices to Trustees of Board Meetings shall be given as follows:

1. Notice of the time and place of every Board Meeting shall be mailed or e-mailed, if permitted by law, not less than five (5) days nor more than ten (10) days before the meeting to the usual address of each Trustee, or as otherwise permitted by law.

2. Public notices of Board Meetings shall be made in accordance with Article 7 of the New York Public Officers Law, as amended (the “Public Officers Law”).

**G. Waiver of Notice.** Notice of a meeting need not be given to a Trustee who (1) signs a waiver of notice or written consent to holding the meeting, whether before or after the meeting, (2) approves the minutes of the meeting, or (3) attends the meeting without protest prior to the meeting or at its commencement of the lack of notice. The Secretary shall incorporate all such waivers, consents, and approvals into the minutes of the meeting.

## **ARTICLE VI: ACTION BY THE BOARD**

**A. Quorum.** Unless a greater proportion is required by law, a majority of the entire Board shall constitute a quorum for the transaction of any business or of any specified item of business.

**B. Action by the Board.**

1. Actions Taken at Board Meetings. Except as otherwise provided by statute or by these Bylaws, the vote of a majority of the Board present at the time of the vote, if a quorum is present at such time, shall be the act of the Board. If at any meeting of the Board there shall be less than a quorum present, the Trustees present may adjourn the meeting until a quorum is obtained.

2. Board Participation by Other Means. In all events, a quorum of Trustees must be present to lawfully conduct a Board Meeting of the Corporation at which a vote is taken. To the extent permitted by Article 7 of the Public Officers Law, Trustees participating by means of video-conferencing may be counted toward achieving a quorum. If Trustees are participating by means of video-conferencing, members of the public may attend at such site and will be notified of all such sites where they may attend, listen, or observe the meeting. Once a quorum is present, additional Trustees may participate in a Board Meeting through conference telephone or similar communication equipment, provided that all Trustees participating in such meeting can hear one another and there is no objection from any Trustee or any person in the public audience. Trustees other than those in-person or participating by live video-conferencing shall not vote nor be counted towards the establishment of quorum.

**C. Committees.**

1. Appointment of Committees. The Board may create committees for any purpose. For any committee except for a standing Finance and Audit Committee and an Executive Committee, the Chairperson of the Board shall appoint members to and designate the chairpersons of such committees. The Board may have a standing Finance and Audit Committee, to be chaired by the Treasurer of the Board. Additional members of the Finance Committee shall be appointed by the Chairperson of the Board. An Executive Committee’s

members shall be appointed by a majority vote of the entire Board. The entire Board may vote, at any time, to disband the Executive Committee. Committees of the Board will consist of not fewer than three (3) Trustees, except that the Executive Committee shall have at least five (5) Trustees.

2. Authority of Board Committees. The Board may delegate to a Board Committee any of the authority of the Board, except with respect to:

- a. The election of Trustees;
- b. Filling vacancies on the Board or any committee that has the authority of the Board;
- c. The fixing of Trustee compensation for serving on the Board or on any committee;
- d. The amendment or repeal of Bylaws or the adoption of new Bylaws;
- e. The appointment of other committees of the Board, or the members of the committees; and
- f. The amendment or repeal of any resolution of the Board that by its terms shall not be so amendable or repealable.

3. Procedures of Committees. The Board may prescribe the manner in which Board Committee proceedings are to be conducted. In the absence of such prescription, each Committee may prescribe the manner of conducting its proceedings, except that the calling of regular and special meetings shall be governed by the provisions of these Bylaws and Article 7 of the Public Officers Law.

**D. Standard of Care.**

1. Performance of Duties. Each Trustee shall perform all duties of a Trustee, including duties on any Board Committee, in good faith and with that degree of diligence, care, and skill, including reasonable inquiry, as an ordinary prudent person in a like position would use under similar circumstances.

2. Reliance on Others. In performing the duties of a Trustee, a Trustee shall be entitled to rely on information, opinions, reports, or statements, including financial statements and other financial data, presented or prepared by:

- a. One or more Officers or employees of the Corporation, or such Officer's or employee's agents or designees, whom the Trustee believes to be reliable and competent in the matters presented;
- b. Legal counsel, public accountants, consultants, advisory groups, or other persons as to matters that the Trustee believes are within that person's professional or expert competence; or

- c. A Board Committee on which the Trustee does not serve, duly designated in accordance with a provision of any Charter or these Bylaws, as to matters within its designated authority, provided the Trustee believes the Committee merits confidence and the Trustee acts in good faith, and with that degree of care specified in Paragraph D.1., and after reasonable inquiry when the need is indicated by the circumstances, and without knowledge that would cause such reliance to be unwarranted.

3. Investments. In investing and dealing with all assets held by the

Corporation for investment, the Board shall exercise the standard of care described above in Paragraph D.1. and shall consider among other relevant considerations the long- and short-term needs of the Corporation in carrying out its purposes, including its present and anticipated financial requirements. The Board may delegate its investment powers to others, provided that those powers are exercised within the ultimate direction of the Board.

**E. Rights of Inspection.** Every Trustee has the right to inspect and copy all books, records and documents of every kind and to inspect the physical properties of the Corporation, provided that such inspection is conducted at a reasonable time after reasonable notice, and provided that such right of inspection and copying is subject to the obligation to maintain the confidentiality of the reviewed information, in addition to any obligations imposed by any applicable federal, state, or local law.

**F. Participation in Discussions and Voting.** 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 be excused from the discussion and vote on any matter involving such Trustee relating to: (a) a self-dealing transaction; (b) a conflict of interest; (c) indemnification of that Trustee uniquely; or (d) any other matter at the discretion of a majority of the Trustees then present.

**G. Duty to Maintain Board Confidences.** Every Trustee has a duty to maintain the confidentiality of all Board actions that are not required by law to be open to the public, including discussions and votes that take place at any Executive Sessions of the Board. Any Trustee violating this confidence may be removed from the Board.

## **ARTICLE VII: OFFICERS**

**A. Officers.** The Officers of the Corporation consist of a Chairperson, a Vice Chairperson, a Secretary, and a Treasurer. The Corporation may also have such other officers as the Board deems advisable.

1. Chairperson. Subject to Board control, the Chairperson has general supervision, direction and control of the affairs of the Corporation, and such other powers and duties as the Board may prescribe. If present, the Chairperson shall preside at Board meetings.

2. Vice Chairperson. If the Chairperson is absent or disabled, the Vice Chairperson shall perform all of the Chairperson's duties and, when so acting, shall have all of the Chairperson's powers and be subject to the same restrictions. The Vice Chairperson shall have such other powers and perform such other duties as the Board may prescribe.

3. Secretary. The Secretary shall: (a) keep or cause to be kept, at the Corporation's principal office, or such other place as the Board may direct, a book of minutes of all meetings of the Board and Board Committees, noting the time and place of the meeting, whether it was regular or special (and if special, how authorized), the notice given, the names of those present, and the proceedings; (b) keep or cause to be kept a copy of the Charters and Bylaws, with amendments; (c) give or cause to be given notice of the Board and Committee meetings as required by these Bylaws and the Public Officers Law; and (d) have such other

powers and perform such other duties as the Board may prescribe.

4. Treasurer. The Treasurer shall: (a) keep or cause to be kept adequate and correct accounts of the Corporation's properties, receipts and disbursements; (b) make the books of account available at all times for inspection by any Trustee; (c) deposit or cause to be deposited the Corporation's monies, and other valuables in the Corporation's name and to its credit, with the depositories the Board designates; (d) disburse or cause to be disbursed the Corporation's funds as the Board directs; (e) render or cause to be rendered to the Chairperson and the Board, as requested but no less frequently than once every fiscal year, an account of the Corporation's financial transactions and financial condition; (f) prepare or cause to be prepared any reports on financial issues required by an agreement on loans; (g) serve as Chairperson of the Finance Committee, if such committee has been formed; and (h) have such other powers and perform such other duties as the Board may prescribe.

**B. Election, Eligibility, and Term of Office.**

1. Election. The Board shall elect the Officers annually at the Annual Meeting or a Regular Meeting designated for that purpose or at a Special Meeting called for that purpose, except that Officers appointed to fill vacancies shall be elected as vacancies occur.

2. Eligibility. A Trustee may hold any number of offices, except that neither the Secretary nor Treasurer may serve concurrently as the Chairperson.

3. Term of Office. Each Officer serves at the pleasure of the Board, holding office until his or her resignation, death, removal, or disqualification from service, or until his or her successor is elected. Any Trustee who holds an Officer position at the end of his or her second consecutive Trustee term may be elected to subsequent renewable one (1) year Trustee terms as a voting *ex-officio* member. Each *ex-officio* Trustee shall retain his or her position as an Officer of the Board, and shall serve at the pleasure of the Board, holding office until his or her resignation, death, removal, or disqualification from service, or until his or her successor is elected.

**C. Delegation.** Subject to Article XI, paragraphs B and C and except as otherwise provided in these Bylaws or as prohibited by law, an Officer of the Corporation may delegate to the Corporation's employees and/or any agent or agents thereof the responsibilities of operating the business of the Corporation, provided that such delegation is exercised within the ultimate direction of the Board.

**D. Removal and Resignation.** The Board may remove any Officer, with cause, in the same manner as it may remove a Trustee in accordance with applicable law. Such removal shall not prejudice the Officer's rights, if any, under an employment contract. Any Officer may resign at any time by giving written notice to the Corporation, the resignation taking effect upon receipt of the notice or at a later date specified in the notice.

**ARTICLE VIII: NON-LIABILITY OF TRUSTEES**

The Trustees shall not be personally liable for the Corporation's debts, liabilities, or other obligations.

## **ARTICLE IX: INDEMNIFICATION OF CORPORATE AGENTS**

The Corporation may, to the fullest extent now or hereafter permitted by and in accordance with standards and procedures provided by § 721 through § 726 of the Not-for-Profit Corporation Law and any amendments thereto, indemnify any person made, or threatened to be made, a party to any action or proceeding by reason of the fact that he, his testate or intestate was a Director, Officer, employee, or agent of the Corporation against judgments, fines, amounts paid in settlement, and reasonable expenses, including attorneys' fees.

## **ARTICLE X: SELF-DEALING TRANSACTIONS**

The Corporation shall not engage in any self-dealing transactions, except as permitted by the General Municipal Law and/or approved by the Board. "Self-dealing transaction" means a transaction to which the Corporation is a party and in which one or more of the Trustees has a material financial interest ("interested Trustee(s)"). Notwithstanding this definition, the following transaction is not a self-dealing transaction, and is subject to the Board's general standard of care:

A transaction that is part of a public or charitable program of the Corporation, if the transaction (a) is approved or authorized by the Board in good faith and without unjustified favoritism; and (b) results in a benefit to one or more Trustees or their families because they are in a class of persons intended to be benefited by the program.

## **ARTICLE XI: OTHER PROVISIONS**

**A. Fiscal Year.** The fiscal year of the Corporation begins on July 1 of each year and ends June 30.

**B. Execution of Instruments.** Except as otherwise provided in these Bylaws, the Board may authorize any Officer or agent of the Corporation to enter into any contract or execute and deliver any instrument in the name of or on behalf of the Corporation. Such authority may be general or confined to specific instances. Unless so authorized, no Officer, agent, or employee shall have any power to bind the Corporation by any contract or engagement, to pledge the Corporation's credit, or to render it liable monetarily for any purpose or any amount.

**C. Checks and Notes.** Except as otherwise specifically provided by Board resolution, checks, drafts, promissory notes, orders for the payment of money, and other evidence of indebtedness of the Corporation may be signed by the Chairperson of the Board, the head of each charter school operated by the Corporation, the Treasurer, or a duly authorized agent thereof. In addition, the Board may appoint additional employees or duly authorized agents of the Corporation as its designees to sign checks, drafts, promissory notes, orders for the payment of money, and other evidence of indebtedness, within the limits of specific financial policies and procedures to be approved by the Board of Trustees.

**D. Construction and Definitions.** Unless the context otherwise requires, the general

provisions, rules of construction, and definitions contained in the Not-for-Profit Corporation Law and the Education Law shall govern the construction of these Bylaws. Without limiting the generality of the foregoing, words in these Bylaws shall be read as the masculine or feminine gender, and as the singular or plural, as the context requires, and the word “person” includes both a corporation and a natural person. The captions and headings in these Bylaws are for reference and convenience only and are not intended to limit or define the scope or effect of any provisions.

**E. Conflict of Interest.** The Board may adopt formal policies requiring:

1. Regular annual statements from Trustees, Officers, and key employees to disclose existing and potential conflicts of interest;
2. Certain disclosures and other actions or limitations relating to existing and potential conflicts of interest; and
3. Corrective and disciplinary actions with respect to violations of such policies.

**F. Trustee Affiliation With A Not-For-Profit Educational Service Provider.**

1. If a Trustee is affiliated with a not-for-profit educational service provider that provides management services to the Corporation (hereinafter a “Provider”) pursuant to a contract between the Corporation and the Provider, termination of the contract with the Provider shall constitute cause for removal of any such affiliated Trustee from the Board, and upon such termination of the contract, such affiliated Trustee may be removed from the Board by a vote of the Board provided there is a quorum of at least a majority of the entire Board present at the meeting.
2. Any Trustee affiliated with a Provider shall not hold the offices of Board Chairperson or Treasurer of the Board.
3. When the Board has proper grounds to go into Executive Session pursuant to the New York Open Meetings Law for the purpose of discussing or voting upon an issue related to the Provider or the personnel of such Provider, the Board may, after the Trustee affiliated with the Provider has had an opportunity to fully address the Board, continue such Executive Session outside of the presence of such affiliated Board Member.
4. The number of Trustees on the Board shall not be less than seven (7) where two (2) trustees are affiliated with a Provider and not less than six (6) where one (1) Trustee is affiliated with a Provider.

**G. Interpretation of Charter and Law.** Whenever any provision of these Bylaws is in conflict with the provisions of any Charter, the provisions of such Charter shall control. Whenever any provision of these Bylaws is in conflict with provisions of applicable law, the provisions of applicable law shall govern and control, including Article 7 of the Public Officers Law.

**ARTICLE XII: AMENDMENT**

A majority of the Trustees may adopt, amend, or repeal these Bylaws, subject to approval

by the Charter Entity when required.

**CERTIFICATE OF THE SECRETARY**

The undersigned does hereby certify that the undersigned is the Secretary of the Corporation, an education corporation duly organized and existing under the laws of the State of New York, that the foregoing Bylaws of said Corporation were duly and regularly adopted as such by the Board of Trustees of said Corporation, and that the above and foregoing Bylaws are now in full force and effect.

\_\_\_\_\_, Secretary

Print Name: \_\_\_\_\_

Dated: \_\_\_\_\_

**14. Governance**

**(f) Code Of Ethics**

**ZETA CHARTER SCHOOLS – NEW YORK CITY  
CODE OF ETHICS AND CONFLICT OF INTEREST POLICY  
ADOPTED DECEMBER 1, 2017**

**I. Purpose, Jurisdiction & Delegation, Board Composition**

The Code of Ethics and Conflict of Interest Policy (the “Policy”) for each of the schools governed by Zeta Charter Schools - New York City (the “Organization”) is provided below. The purpose of the Policy is to protect the Organization’s interest when it is contemplating entering into a transaction or arrangement that might benefit the private interest of an officer or Trustee of the Organization or might result in a possible excess benefit transaction. This Policy is intended to supplement but not replace any applicable state and federal laws governing conflict of interest applicable to nonprofit and charitable organizations.

The Board of Trustees shall conduct or direct the affairs of the school and exercise its powers subject to the applicable limitations of the Education Law, Not-for-Profit Corporation Law, the schools’ charters, and their bylaws. The Board may delegate aspects of the management of school activities to others, so long as the affairs of its schools are managed, and its powers are exercised, under the Board’s ultimate jurisdiction.

Not more than 49 percent of the people serving on the school’s Board of Trustees may be comprised of (a) people currently being compensated by the school for services rendered to it within the previous 12 months, whether as a full-time or part-time employee, independent contractor or otherwise or (b) any sister, brother, ancestor, descendant, spouse, sister-in-law, brother-in-law, daughter-in-law, son-in-law, mother-in-law, or father-in-law (“Relative”) of any such person.

No Trustee, officer, or employee of a for-profit corporation having a business relationship with the school(s) shall serve as a voting member of the Board of Trustees for the duration of such business relationship, provided, however, that this provision shall not apply to the following:

- Individuals associated with a partnership, limited liability corporation, or professional corporation, including but not limited to doctors, accountants, and attorneys;
- Individuals associated with an educational entity (including but not limited to schools of education) some of whose faculty may be providing paid services directly or indirectly to such charter school(s); and
- Individuals associated with a bank, insurance, mutual fund, investment bank, stock brokerage, financial planning, or other financial services organization.

In no instance shall a Trustee, officer, or an employee of a for-profit educational management organization having a business relationship with the charter school(s) serve as a voting member of the Board of Trustees for the duration of such business relationship.

Trustees, officers, or employees of any external organization shall hold no more than 40 percent of the total seats comprising the Board of Trustees.

## **II. Conflict of Interest**

### **A. Self-Dealing Transaction and Material Financial Interest Defined**

Every Trustee has the right to participate in the discussion and, in the case of voting Trustees, vote on all issues before the Board or any Board Committee, except that any Trustee shall be excused from the discussion and vote on any matter involving such Trustee relating to: (a) a "self-dealing transaction" (see below), (b) a conflict of interest, (c) indemnification of that Trustee uniquely, or (d) any other matter at the discretion of a majority of the Trustees.

The Board of Trustees and the officers and employees of the school shall not engage in any "self-dealing transactions," except as approved by the Board. "Self-dealing transaction" means a transaction to which the school(s) is a party and in which one or more of the Trustees, officers, or employees has a material "financial interest."

A person has a "financial interest" if the person, directly or indirectly, through business, investment, or a Relative: (a) is a party contracting or dealing with the school(s), (b) is a Principal, Trustee, Director, or Officer of or has an ownership or material financial or influential interest in any entity with which the Organization has a transaction or arrangement, (c) has a compensation arrangement with the Organization or with any entity or individual with which the Organization has a transaction or arrangement, or (d) has a potential ownership or material financial or influential interest in, or compensation arrangement with, any entity or individual with which the Organization is negotiating a transaction or arrangement.

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 Board or the governance/executive committee (if any) decides that a conflict of interest exists.

Notwithstanding the foregoing definitions, the following transaction is not a self-dealing transaction, and is subject to the Board's general standard of care: a transaction that is part of a public or charitable program of the school(s), if the transaction (a) is approved or authorized by the Board in good faith and without unjustified favoritism and (b) results in a benefit to one or more Trustees or their families because they are in a class of persons intended to be benefited by the program.

Any actual or potential conflict of interest occurs when a Trustee, officer, or employee is in a position to influence a decision that may result in a personal gain for the Trustee, officer, or employee or in a gain for a Relative of a person with whom the Trustee, officer, or employee has a close personal relationship as a result of a business dealing with the school(s).

No Trustee, officer, or employee may receive (or enter into any agreement to receive, whether express or implied) compensation for any services that he or she provides that are related to any matter before the school(s) in which he or she has involvement or influence or the power to appoint members, officers, or employees. Trustees, officers, and employees are also prohibited

from receiving (or entering into any agreement to receive, whether express or implied) compensation that is dependent or contingent on any decision or action of the school(s). However, this does not prohibit the fixing of fees based on the value of the services being provided by such Trustee, officer, and employee.

No officer or employee shall have an interest in any contract with the school(s) when such officer or employee, individually or as a member of a board, has the power or duty to (a) negotiate, prepare, authorize, or approve the contract or payments under the contract; (b) audit bills or claims under the contract, or (c) appoint an officer or employee with the powers or duties set forth above. No chief fiscal officer, treasurer, or his or her deputy or employee, shall have an interest in a bank or trust company that is a depository, paying agent, or registration agent for investment of funds of the school(s). This paragraph does not prohibit compensation and necessary expenses for officers or employees in positions of public employment.

## **B. Duty to Disclose**

Prior to the initial election of any Trustee, and annually thereafter, each Trustee shall complete, sign and submit to the Secretary of the Board a written statement identifying, to the best of the Trustee's knowledge: 1) any entity of which such Trustee is an officer, director, trustee, member, owner (either as a sole proprietor or a partner), or employee and with which the school(s) has a relationship and 2) any transaction in which the school(s) is a participant and in which the Trustee might have a conflicting interest. Each Trustee shall annually re-submit a written statement disclosing any actual, potential, or apparent conflicts in the form attached hereto. The Secretary of the Board shall provide a copy of all completed statements to the Chairman of the Board. A copy of each disclosure statement shall be kept in the Organization's electronic files and made available to any Trustee, officer, or senior management member upon request.

In addition to completing an annual disclosure statement, all Trustees shall annually sign a statement that affirms that such person (1) has received a copy of the Policy; (2) has read and understands the Policy; (3) has agreed to comply with the Policy; and (4) understands that the Organization is charitable and that, in order to maintain its tax-exempt status, it must engage primarily in activities that accomplish one or more of its tax-exempt purposes.

Individuals covered by this Policy are under a continuing obligation to disclose any actual or potential conflicts of interest as soon as they are known, or reasonably should be known. Disclosures should be made in advance, before any action is taken on the matter that poses an actual or potential conflict.

In the case of an employee, any actual or potential conflict of interest must be immediately reported to the school leader. If the party with the potential conflict of interest is the school leader, he or she shall report it to his or her supervisor, who will report it to the Chairman of the Board of Trustees. In the case of an officer or Trustee, the potential conflict of interest must be reported immediately to the Chairman of the Board. If the party with the potential conflict of interest is the Chairman, he or she shall report it to the Vice Chairman.

Any Trustee, officer, or employee (or his/her Relative) who has, acquires, or plans to acquire any interest in an actual or proposed contract, agreement (including oral agreements), or other transaction or arrangement with the school(s) shall make a prompt, full, and frank disclosure to his/her manager (in the case of an employee) and the Board of the nature and extent of his or her interest. Such disclosure to the Board of his or her interest must be made in writing to the

employee's manager and to the Board prior to acting on such contract or transaction, as soon as the Trustee, officer, or employee knows of the actual or prospective interest. The disclosure shall include all relevant and material facts known to such person about the contract or transaction, which might reasonably be construed to be adverse to the Board's interest. Such written disclosure will be incorporated into the official record of Board proceedings.

Trustees, officers, or employees representing any not-for-profit corporation proposing to do business with the school(s) shall disclose the nature and extent of such business.

### **C. Procedure**

Disinterested members of the Board or the governance/executive committee (if any) will evaluate all conflict disclosures and make necessary inquiries to determine the extent and nature of any actual or potential conflict of interest. After disclosure of all material facts and after any discussion with the interested person, the interested person shall recuse him or herself from the Board or governance/executive committee meeting while the conflict of interest is discussed. The interested person shall refrain from attempting to influence the Trustees who will be making a determination about the conflict of interest. Although interested parties cannot be present for the discussion regarding the conflict, interested Trustees may be counted in determining the presence of a quorum at a Board or governance/executive committee meeting.

The Organization may enter into a transaction or other arrangement in which there is an actual or potential conflict of interest only if, at a duly held meeting of the Board or the governance/executive committee (if any) at which quorum is present, a majority of disinterested Trustees approve the transaction or arrangement after determining in good faith and after reasonable inquiry, that:

- 1) Entering into the transaction or arrangement is in the best interests of the Organization;
- 2) The transaction or arrangement is fair and reasonable to the Organization;
- 3) After consideration of available alternatives, a more advantageous transaction or arrangement is not reasonably possible under the circumstances; and
- 4) The transaction or arrangement furthers the Organization's mission and tax-exempt purposes.

### **D. Records of Proceedings**

The minutes of the Board or any governance/executive committee meeting during which a conflict of interest was disclosed, discussed, or voted upon should contain:

- 1) The names of the person(s) who disclosed or otherwise was/were found to have an interest in connection with an actual or potential conflict of interest, the nature of the interest, any action taken to determine whether a conflict of interest was present, and the decision as to whether a conflict of interest in fact existed; and
- 2) The names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, and a record of any votes taken in connection with the proceedings.

### **E. Violations of the Conflict of Interest Policy**

If the Board or the governance/executive committee (if any) has reasonable cause to believe a

member has failed to disclose actual or possible conflicts of interest, it shall inform the member of the basis for such belief and afford the member an opportunity to explain the alleged failure to disclose. Trustees shall make all appropriate financial disclosures whenever a grievance or conflict of interest is lodged against them.

If, after hearing the member's response and after making further investigation as warranted by the circumstances, either with or without the assistance of a delegee, outside counsel, and/or consultants, the Board or the governance/executive committee (if any) determines the member has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.

### **III. Other Code of Ethics Provisions**

Trustees, officers, and employees shall not solicit or receive any gift or privilege worth \$75 or more under circumstances in which it reasonably could be inferred that the gift will influence him or her, or could reasonably be expected to influence him or her, in the performance of official duties in favor of the gift giver, or was intended as a reward for any official action on his or her part in favor of the gift giver. However, occasional, non-monetary gifts of immaterial economic value, such as reasonable meals or social invitations that are in keeping with the spirit of this Policy, do not present a conflict of interest.

Trustees, officers, and employees may never ask a subordinate, a student, or a parent of a student to work on or give to any political campaign.

Trustees, officers, and employees will exercise the highest degree of care not to disclose confidential information, including, but not limited to:

- Student records,
- Financial information,
- Personnel records, and
- Payroll records.

Trustees, officers, and employees of the school will observe rules of behavior and conduct. Unacceptable conduct includes, but is not limited to:

- Theft or inappropriate removal or possession of property,
- Falsification of documents,
- Possession, distribution, sale, transfer, or use of alcohol or illegal drugs in the workplace or while on duty,
- Use of tobacco or tobacco products on school grounds,
- Insubordination or other disrespectful conduct,
- Violation of safety or health rules,
- Sexual or other unlawful or unwelcome harassment, and
- Excessive absenteeism or any absence without notice.

Whenever a Trustee, officer, or employee who participates in the discussion of, or gives official opinion to, the Board on legislation before any municipal, agency, state, or federal government,

such Trustee, officer, or employee shall publicly disclose on the official minutes of the Board meeting the nature and extent of any direct or indirect interest he or she has in such legislation. The term "interest" means a pecuniary or material benefit accruing to the Trustee, the officer, or the employee.

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, and, where applicable, the Trustee, officer, or employee shall abstain from voting on any such transaction, as stated above.

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.

A former Trustee, officer, or employee shall not, as the representative of his or her new employer, present him or herself before the Board, in relation to any order of business in which he or she personally participated during the period of his or her service or employment, where such presentation would result in improper influence upon the Board or result in the appearance of improper influence upon the Board.

All Trustees, officers, and employees of the school will be given a copy of the code of ethics upon their employment or association with the school(s).

**Zeta Charter Schools - New York City Code of Ethics and Conflict of Interest  
Policy  
Annual Affirmation for Trustees**

I have received, carefully read, and understood the Code of Ethics and Conflict of Interest Policy (the "Policy") of Zeta Charter Schools - New York City (the "Organization") and agree to comply with the Policy.

I further understand that the Organization is a charitable organization and that in order to maintain its tax-exempt status, it must engage in activities that accomplish one or more of its tax-exempt purposes.

Except as otherwise indicated in the Annual Disclosure Statement or otherwise previously disclosed in writing to the Board of Trustees of the Organization, I hereby state that I do not, to the best of my knowledge, have any conflicts of interest that may be seen as competing with the interests of the Organization.

I further understand that I have a continuing obligation to promptly disclose any actual or potential conflicts of interest that should arise in the future.

I further certify that the information set forth in the disclosure statement below is stated to the best of my knowledge and belief.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name

**ZETA CHARTER SCHOOLS - NEW YORK CITY CONFLICT OF INTEREST  
POLICY  
ANNUAL DISCLOSURE STATEMENT FOR TRUSTEES**

Have you or any Relative (as defined in the Code of Ethics and Conflict of Interest Policy (the "Policy")) had or engaged in, or do you know of any relevant Trustee or person who has or engaged in, any of the following (other than matters previously fully disclosed, evaluated, and resolved)?

	YES	NO
1. A material ownership or investment interest in, or affiliation with, any entity or individual with which the Organization has, or proposes to have, a transaction or arrangement.		
2. A compensation arrangement with the Organization (not including salary from the Organization, if applicable) or with any entity or individual with which the Organization has a transaction or arrangement.		
3. Improperly used his or her position within the Organization, or confidential information, assets, or goodwill of the Organization to his or her (or a Relative's) personal advantage or for an improper or illegal purpose.		
4. Solicited or accepted any personal loan or gift, gratuity, or other personal favor from a person or entity with which the Organization has, or proposes to have, a transaction or arrangement; provided that occasional, non-monetary gifts of immaterial economic value, such as reasonable meals or social invitations that are in keeping with the spirit of this Policy, do not present a conflict of interest.		
5. Acquired any property or other rights in which the Organization has, or which that person knows or has reason to believe at the time of acquisition that the Organization is likely to have, an interest.		
6. Taken advantage of an opportunity related to the activities of the Organization which that person had reason to believe would be of interest to the Organization.		
7. Been indebted to the Organization or received some type of financial assistance from the Organization.		
8. Any other circumstances that may, in fact or in appearance, make it difficult for the person to exercise objectivity or impair the person's ability to perform his or her responsibilities in the best interests of the Organization.		



**14. Governance**

**(g) Complaint Policy**

**ZETA CHARTER SCHOOLS - NEW YORK CITY  
COMPLAINT POLICY  
ADOPTED DECEMBER 1, 2017**

Zeta Charter Schools - New York City ("Zeta Schools NYC") encourages members of the school community to raise any concerns or complaints directly with the school, first to the student's teacher, then to school leadership. The school is committed to promptly addressing any concerns or complaints members of the school community may have.

Members of the school community may also raise concerns or complaints with Zeta Charter Schools.

In the event that an individual or group wishes to raise a concern or complaint with the Zeta Schools NYC's Board of Trustees (the "Board"), he/she/they must submit the concern or complaint in writing to the Board at the following address:

Board of Trustees  
Zeta Charter Schools - New York City  
% Emily A. Kim  
222 Alexander Avenue  
Bronx, New York 10454

Written complaints submitted to any school governed by Zeta Schools NYC will also be forwarded to the Board.

The Board (or a Board member representative) will respond within a reasonable amount of time. Every effort will be made to respectfully address each matter to the satisfaction of the complainant. The Board or its representative may, as necessary, delegate to the principal or other responsible party to act upon the complaint and report back as necessary or appropriate. The Board will provide a determination in writing as appropriate.

In accordance with Education Law § 2855(4), if the complainant does not feel that the Board has adequately addressed the complaint, the complainant may present the complaint to the school's charter entity, the Board of Trustees of the State University of New York ("State University Trustees") through the Charter Schools Institute, which shall investigate and respond. The State University Trustees shall have the power and the duty to issue appropriate remedial orders to the Board under their jurisdiction to effectuate the provisions applicable under the Education Law. If, after presentation of the complaint to the State University Trustees, the complainant does not feel that the State University Trustees have adequately addressed the complaint, the complainant may present that complaint to the Board of Regents, which shall investigate and respond, and may issue remedial orders if appropriate.

This policy will be available upon request in each school, and the school will furnish the latest version of the Charter Schools Institute's complaint procedures to the complainant upon request.

**Jenny Sedlis**

Jenny Sedlis is one of New York State’s foremost experts in charter school start-up, management, and policy.

Ms. Sedlis is the Executive Director of StudentsFirstNY, a leading education reform organization dedicated to improving public schools throughout New York. As Executive Director, Ms. Sedlis has been instrumental in the battle for charter school funding parity in New York. She has also been on the front lines of negotiating New York’s trailblazing charter rental assistance program, a charter cap lift, teacher quality reforms, and policy and regulatory improvements. StudentsFirstNY has one of the largest district public school parent organizing operations in the country, with over 17,000 active members across 16 chapters.

Ms. Sedlis is the author of many articles exposing the work of special interest groups to undermine high quality and parent choice in public education. In her work, she calls for action by New York leadership to protect and grow practices and legislation that ensure more children have access to great educational options. A recent front page New York Times article described StudentsFirstNY under Ms. Sedlis’ leadership as “one of the most powerful forces in Albany.” In 2016 and 2017, Ms. Sedlis was selected for the City & State Albany Power 100 list at #67 and #69.

Ms. Sedlis co-founded Success Academy Charter Schools with Eva Moskowitz in 2006, and helped grow the network from one to 22 schools in eight years. Ms. Sedlis managed many aspects of the charter management organization including student recruitment and enrollment, marketing for teacher recruitment, fundraising, government relations and compliance, board relations, facilities selection, press relations, advocacy, and more. Ms. Sedlis received national recognition for leading the organization’s pioneering advocacy and parent organizing work.

Prior to her work at Success Academy, Ms. Sedlis ran the district office for then-New York City Council Member Moskowitz.

Ms. Sedlis earned a bachelor’s degree in politics and international relations from Scripps College.

[REDACTED]





**EDUCATION**

UNIVERSITY OF PENNSYLVANIA  
UNIVERSITY OF NEW HAMPSHIRE

MBA  
BACHELOR OF ARTS, ENGLISH

2006  
1994



Shannon Kete  
Brooklyn NY, 11201

[REDACTED]

**EDUCATION**

**1999-2000**     **Harvard Business School**     **Boston, MA**  
Master of Business Administration  
Director, 2000 HBS Show, a full-scale original musical production with 150 cast and crew.

**1991-1995**     **University of North Carolina at Chapel Hill**     **Chapel Hill, NC**  
Bachelor of Arts with Distinction in Latin American Studies and Political Science.  
John Motley Morehead Scholar (full merit-based scholarship). Phi Beta Kappa.

[REDACTED]



[Redacted]

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## Education

### Emory University School of Law, 2010

*Juris Doctor*

Class of 2010 Gift Chair, Black Law Students Association President, Moot Court Society Operating Director and Jessup International Law Competitor, Street Law Co-Founder, Know Your Rights Community Presenter

### Florida State University, 2005

*Bachelor of Arts, cum laude, in Communication*

Phi Beta Kappa, Student Senate President Pro Tempore, Black Student Union Executive Board, Garnet and Gold Key Leadership Honor Society Vice President, Student Judicial Board, Spain Study Abroad

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[REDACTED]

[REDACTED]

[REDACTED]

**SAMARA L. PENN SAVARY**

[REDACTED]  
Belle Mead, New Jersey 08502

[REDACTED]

[REDACTED]

[REDACTED]

**EDUCATION**

**Columbia University School of Law**, New York, NY  
J.D., 2010

**Princeton University**, Princeton, NJ  
A.B., Woodrow Wilson School of Public and Int'l Affairs; Certificates, African American Studies & Spanish, 2007

[REDACTED]

[REDACTED]

• States: New York; New Jersey

**Request for Information from  
Prospective Charter School Education Corporation Trustee  
FORM**

Please provide the following information.

Background

1. Name of charter school education corporation for which you intend to serve as a trustee.  
Zeta Charter Schools – New York City
  
2. Full name: Samara Penn Savary  
Home Address: [REDACTED]  
Business Name/Address: [REDACTED]  
Home telephone No.: [REDACTED]  
Work telephone No.: [REDACTED]  
E-mail address: [REDACTED]
  
3. A brief educational and employment history (you may attach a resume):  
 Resume attached.
  
4. Please affirm that you will be at least 18 years old by the date of appointment to the education corporation's board.  I affirm.
  
5. Please indicate whether you currently or have previously served on a board of a school district, another charter school education corporation, a non-public school or any not-for-profit corporation (to the extent not otherwise indicated in your response to Item 3, above).  
 Does not apply to me.  Yes.
  
6. Please indicate if you have ever been convicted of a misdemeanor related to honesty or trustworthiness, or a felony. If the answer to this question is yes, please provide details of the offense, the date, disposition, etc.  Does not apply to me.  Yes,
  
7. Please indicate if you have ever entered into a settlement agreement, consent decree, adjournment in contemplation of dismissal, assurance of discontinuance or other, similar agreement with the Securities Exchange Commission, Internal Revenue Service, the U.S. attorney general or the attorney general of any state, a U.S. or district attorney or any other law enforcement or regulatory body concerning the discharge of your duties as a board member of a for-profit or not-for profit entity or as an executive of such entity. If the answer to this question is yes, please provide details of the agreement.  
 Does not apply to me.  Yes,

Conflicts

8. Please indicate whether you or your spouse knows any of the other charter school education corporation trustees, or prospective or former trustees. If so, please indicate the

precise nature of your relationship.  I / we do not know any such trustees.  Yes,

9. Please indicate whether you or your spouse knows any person who is, or has been in the last two years, an employee of the education corporation. If so, indicate the precise nature of your relationship.

I / we do not know any such employees.  Yes,

**THE EDUCATION CORPORATION DOES NOT YET HAVE ANY EMPLOYEES. HOWEVER, I HAVE SERVED AS PRO BONO COUNSEL TO SUCCESS ACADEMY CHARTER SCHOOLS, WORKING WITH EMILY KIM IN THAT CAPACITY.**

10. Please indicate whether you or your spouse knows anyone who is doing, or plans to do, business with the education corporation or any of the schools it has the authority to operate (whether as an individual or as a director, officer, employee or agent of an entity). If so, indicate and describe the precise nature of your relationship and the nature of the business that such person or entity is transacting or will be transacting with the education corporation.  I / we do not know any such persons.  Yes,

11. Please indicate if you, your spouse or other immediate family members anticipate conducting, or are conducting, any business with the education corporation or any school it has the authority to operate. If so, please indicate the precise nature of the business that is being or will be conducted.  I / we do not anticipate conducting any such business.  Yes,

12. If the education corporation or any of the schools it has the authority to operate contracts with an educational service provider (a management company, whether for-profit or not-for-profit), please indicate whether you or your spouse know any employees, officers, owners, directors or agents of that provider. If the answer is in the affirmative, please describe any such relationship.

Not applicable because the education corporation does not contract with a management company or charter management organization.

I / we do not know any such persons.

Yes,

13. If the education corporation or any of the schools it has the authority to operate contracts with an educational service provider, please indicate whether you, your spouse or other immediate family members have a direct or indirect ownership, employment, contractual or management interest in the provider. For any interest indicated, please provide a detailed description.  N/A.  I / we have no such interest.  Yes,

14. If the education corporation or any of the schools it has the authority to operate is partnered with an educational service provider, please indicate if you, your spouse or other immediate family member anticipate conducting, or are conducting, any business with the provider. If so, please indicate the precise nature of the business that is being or will be conducted.  N/A.  I / we or my family do not anticipate conducting any such business.  Yes,

15. Please indicate whether you, your spouse or other immediate family members are a director, officer, employee, partner or member of, or are otherwise associated with, any organization which filed an application in conjunction with the education corporation or any

of the schools it has the authority to operate, i.e., is partnered with the education corporation. (For the identity of all such organizations, please consult with the chair of the board.) To the extent you have provided this information in response to prior items, you may so indicate.  Does not apply to me, my spouse or family.  Yes, .

16. Please indicate any potential ethical or legal conflicts of interests that would, or are likely to, exist should you be approved for service on the education corporation board. Please note that being a parent of a school student, serving on another charter school's board or being employed by the school are conflicts that should be disclosed, but do not make you automatically ineligible to serve as a trustee.  None.  Yes, .

17. Please indicate how you would handle a situation in which you believe one or more members of the education corporation's board are involved in self-dealing (working for their own benefit, or the benefit of their friends and family). Please note that simply confronting the involved trustee is not usually a sufficient answer.

**I WOULD FOLLOW THE ORGANIZATION'S CODE OF ETHICS AND CONFLICT OF INTEREST POLICY. I WOULD TIMELY RAISE THE CONFLICT TO THE BOARD CHAIRPERSON OR, IF THE BOARD CHAIRPERSON WERE INVOLVED IN THE PURPORTED SELF-DEALING, THE VICE BOARD CHAIRPERSON. I WOULD ALSO RAISE THE CONFLICT TO THE HEAD OF THE ORGANIZATION AND THE GENERAL COUNSEL (IF THERE WERE SUCH A PERSON) OF THE ORGANIZATION. I WOULD ENSURE THE APPROPRIATE ACTIONS WERE TAKEN ACCORDING TO THE CODE OF ETHICS AND CONFLICT OF INTEREST POLICY.**

Other

18. Please affirm that you have read the education corporation's by-laws and conflict-of-interest policies (Code of Ethics).  I affirm.

19. Please provide any other information that you feel pertinent to the SUNY Charter Schools Institute's review.

**Certification**

I, Samara L. Penn Savary, certify to the best of my knowledge and ability that the information I am providing to the State University of New York/Charter Schools Institute in regards to my application to serve as a member of the board of trustees of the Zeta Charter Schools – New York City is true and correct in every respect.

Samara L. Penn Savary  
Signature

12/8/2017  
Date

**Please submit this form with the RFI form to the Institute or via mail, facsimile or e-mail (in PDF with signature) to:**

SUNY Charter Schools Institute  
41 State Street, Suite 700

Albany, New York 12207  
(518) 445-4250 (phone)  
(518) 320-1572 (fax)  
[charters@suny.edu](mailto:charters@suny.edu) (email)



### **3. Proposal History Including Community Outreach**

#### **(i) Board Member Resumes and Request for Information Forms**

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**Jenny Sedlis**

Jenny Sedlis is one of New York State’s foremost experts in charter school start-up, management, and policy.

Ms. Sedlis is the Executive Director of StudentsFirstNY, a leading education reform organization dedicated to improving public schools throughout New York. As Executive Director, Ms. Sedlis has been instrumental in the battle for charter school funding parity in New York. She has also been on the front lines of negotiating New York’s trailblazing charter rental assistance program, a charter cap lift, teacher quality reforms, and policy and regulatory improvements. StudentsFirstNY has one of the largest district public school parent organizing operations in the country, with over 17,000 active members across 16 chapters.

Ms. Sedlis is the author of many articles exposing the work of special interest groups to undermine high quality and parent choice in public education. In her work, she calls for action by New York leadership to protect and grow practices and legislation that ensure more children have access to great educational options. A recent front page New York Times article described StudentsFirstNY under Ms. Sedlis’ leadership as “one of the most powerful forces in Albany.” In 2016 and 2017, Ms. Sedlis was selected for the City & State Albany Power 100 list at #67 and #69.

Ms. Sedlis co-founded Success Academy Charter Schools with Eva Moskowitz in 2006, and helped grow the network from one to 22 schools in eight years. Ms. Sedlis managed many aspects of the charter management organization including student recruitment and enrollment, marketing for teacher recruitment, fundraising, government relations and compliance, board relations, facilities selection, press relations, advocacy, and more. Ms. Sedlis received national recognition for leading the organization’s pioneering advocacy and parent organizing work.

Prior to her work at Success Academy, Ms. Sedlis ran the district office for then-New York City Council Member Moskowitz.

Ms. Sedlis earned a bachelor’s degree in politics and international relations from Scripps College.

[REDACTED]



## **Keri Hoyt**

Keri Hoyt is President of Noodle Partners, a start-up company disrupting the world of postsecondary online education. Noodle Partners creates agile online degree programs tailored to the specific needs of students and faculty at postsecondary institutions. Ms. Hoyt sets strategy and oversees pricing, product development, and everything in between.

Prior to joining Noodle Partners, Ms. Hoyt served for seven years as Executive Vice President of Schooling and Chief Operating Officer of Success Academy Charter Schools, the highest-performing, fastest-growing network of public charter schools across the nation. Ms. Hoyt managed all aspects of running Success Academy through a period of intense growth, from four schools to 32 schools serving 12,000 children, while ensuring that the schools continuously rated among the best public schools in New York (top 1% in math and top 3% in English Language Arts).

Ms. Hoyt started her career at The Princeton Review, where she spent 18 years, ultimately serving in a variety of senior management roles. She holds an MBA from the Wharton School of the University of Pennsylvania and a B.A., English, from the University of New Hampshire.

Ms. Hoyt serves on the board of Kepler, a nonprofit higher education program in Kigali, Rwanda, offering online courses and other education technology practices in a blended learning curriculum, with the goal of lowering the cost of higher education without a reduction in academic quality or outcomes.

[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

**EDUCATION**

UNIVERSITY OF PENNSYLVANIA  
UNIVERSITY OF NEW HAMPSHIRE

MBA  
BACHELOR OF ARTS, ENGLISH

2006  
1994



## **Shannon Kete**

Shannon Kete was a member of the inaugural class of the Broad Residency in Education Program in 2003, while also serving in the Chancellor's Office of the New York City public school system during the early days of Children First, the reform effort led by Mayor Bloomberg and Chancellor Joel Klein. She has subsequently made a significant impact in the education reform movement, serving as a key leader in various education reform settings.

From 2011 to 2013, Ms. Kete served as Chief Operating Officer and Senior Managing Director of Operations at Success Academy Charter Schools, one of the highest-growth and highest-performing charter school networks in the country. She led an operations staff of 100 and developed operational capacity for unprecedented new school growth, increasing locations from seven to 23 in two years. Redesigning management and training structures, Ms. Kete introduced career development programs and added competitive benchmarking across schools.

Ms. Kete has also worked at Amplify, an education technology company as Chief Operating Officer of the Learning Division, and later as Senior Vice President of Sales, and at PTLW, a national STEM curriculum company, as Chief Operating Officer and Acting President.

Ms. Kete holds an MBA from Harvard Business School and was a Morehead-Cain Scholar at UNC Chapel Hill.

Currently, Ms. Kete is Chief of Staff at CLS, a global foreign exchange settlement bank. She continues her education reform focus as a board member of the Literacy Design Collaborative and as an advisor to several edtech start-ups.

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[REDACTED]

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**Education**

1999-2000 **Harvard Business School. Boston, MA**  
Master of Business Administration  
Director, 2000 HBS Show, a full-scale original musical production with 150 cast and crew

1991-1995 **University of North Carolina at Chapel Hill. Chapel Hill, NC**  
Bachelor of Arts with Distinction in Latin American Studies and Political Science  
John Motley Morehead Scholar (full merit-based scholarship). Phi Beta Kappa

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[REDACTED]

- [REDACTED]

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## **Nicole Brisbane**

Nicole Brisbane is the New York State Director for Democrats for Education Reform (DFER). She has served in this role for the past three years, cultivating and supporting New York Democratic leaders to develop a coalition of voices for public education reform.

Ms. Brisbane is originally from Miami, FL, born to immigrant parents. After graduating from Miami-Dade County Public Schools and Florida State University, she taught middle school intensive reading and language arts to students who were four or more years behind their peers. Ms. Brisbane attended law school at Emory University, during which she had a fellowship with Education Pioneers at D.C. Public Schools, a Florida Bar Fellowship at the Florida Justice Institute (a civil rights law firm) and served as a public defender in the Juvenile Court of Dekalb County in Georgia.

Ms. Brisbane worked for Teach for America (TFA) for four years, working in Miami-Dade on growth strategy and community partnerships and leading TFA's national new site development efforts. She subsequently joined DFER because, as a public school teacher, she saw firsthand how policies enacted far away from the point of impact affect kids and their ultimate educational opportunities.

**Request for Information from  
Prospective Charter School Education Corporation Trustee  
FORM**

Please provide the following information.

Background

1. Name of charter school education corporation for which you intend to serve as a trustee.  
Zeta Charter Schools – New York City
2. Full name: Jenny Sedlis  
Home Address: [REDACTED] NY 11217  
Business Name/Address: StudentsFirstNY / [REDACTED] NY 10001  
Home telephone No.: [REDACTED]  
Work telephone No.: [REDACTED]  
E-mail address: [REDACTED]
3. A brief educational and employment history (you may attach a resume):  
 Resume attached.

2013 to Present – StudentsFirstNY, *Executive Director*

2012 – Columbia Business School, Senior Leaders Program for Nonprofit Professionals

2006 to 2013 – Success Academy Charter Schools, *Co-Founder/Senior Managing Director of External Affairs*

2004 to 2005 – New York City Council Member Eva Moskowitz, *Director of Community Affairs*

2004 – Scripps College, B.A., Politics and International Relations

4. Please affirm that you will be at least 18 years old by the date of appointment to the education corporation's board.  I affirm.
5. Please indicate whether you currently or have previously served on a board of a school district, another charter school education corporation, a non-public school or any not-for-profit corporation (to the extent not otherwise indicated in your response to Item 3, above).  
 Does not apply to me.  Yes, .
6. Please indicate if you have ever been convicted of a misdemeanor related to honesty or trustworthiness, or a felony. If the answer to this question is yes, please provide details of the offense, the date, disposition, etc.  Does not apply to me.  Yes, .
7. Please indicate if you have ever entered into a settlement agreement, consent decree, adjournment in contemplation of dismissal, assurance of discontinuance or other, similar agreement with the Securities Exchange Commission, Internal Revenue Service, the U.S. attorney general or the attorney general of any state, a U.S. or district attorney or any other law enforcement or regulatory body concerning the discharge of your duties as a board member of a for-profit or not-for profit entity or as an executive of such entity. If the answer to this question is yes, please provide details of the agreement.  
 Does not apply to me.  Yes, .

Conflicts

8. Please indicate whether you or your spouse knows any of the other charter school education corporation trustees, or prospective or former trustees. If so, please indicate the precise nature of your relationship.  I / we do not know any such trustees.  Yes,

I have worked with Keri Hoyt and Shannon Kete at Success Academy Charter Schools. I have worked with Nicole Brisbane in her capacity as New York State Director at DFER. I know Ken Hirsh through his involvement in education reform.

9. Please indicate whether you or your spouse knows any person who is, or has been in the last two years, an employee of the education corporation. If so, indicate the precise nature of your relationship.  
 I / we do not know any such employees.  Yes,

The education corporation does not yet have any employees. However, I have worked with Emily Kim, Meghan Mackay, and Jessica Stein at Success Academy Charter Schools.

10. Please indicate whether you or your spouse knows anyone who is doing, or plans to do, business with the education corporation or any of the schools it has the authority to operate (whether as an individual or as a director, officer, employee or agent of an entity). If so, indicate and describe the precise nature of your relationship and the nature of the business that such person or entity is transacting or will be transacting with the education corporation.  I / we do not know any such persons.  Yes,

11. Please indicate if you, your spouse or other immediate family members anticipate conducting, or are conducting, any business with the education corporation or any school it has the authority to operate. If so, please indicate the precise nature of the business that is being or will be conducted.  I / we do not anticipate conducting any such business.  Yes,

12. If the education corporation or any of the schools it has the authority to operate contracts with an educational service provider (a management company, whether for-profit or not-for-profit), please indicate whether you or your spouse know any employees, officers, owners, directors or agents of that provider. If the answer is in the affirmative, please describe any such relationship.

Not applicable because the education corporation does not contract with a management company or charter management organization.

I / we do not know any such persons.

Yes,

13. If the education corporation or any of the schools it has the authority to operate contracts with an educational service provider, please indicate whether you, your spouse or other immediate family members have a direct or indirect ownership, employment, contractual or management interest in the provider. For any interest indicated, please provide a detailed description.  N/A.  I / we have no such interest.  Yes,

14. If the education corporation or any of the schools it has the authority to operate is partnered with an educational service provider, please indicate if you, your spouse or other

immediate family member anticipate conducting, or are conducting, any business with the provider. If so, please indicate the precise nature of the business that is being or will be conducted.  N/A.  I / we or my family do not anticipate conducting any such business.  Yes, .

15. Please indicate whether you, your spouse or other immediate family members are a director, officer, employee, partner or member of, or are otherwise associated with, any organization which filed an application in conjunction with the education corporation or any of the schools it has the authority to operate, i.e., is partnered with the education corporation. (For the identity of all such organizations, please consult with the chair of the board.) To the extent you have provided this information in response to prior items, you may so indicate.  Does not apply to me, my spouse or family.  Yes, .
16. Please indicate any potential ethical or legal conflicts of interests that would, or are likely to, exist should you be approved for service on the education corporation board. Please note that being a parent of a school student, serving on another charter school's board or being employed by the school are conflicts that should be disclosed, but do not make you automatically ineligible to serve as a trustee.  None.  Yes, .
17. Please indicate how you would handle a situation in which you believe one or more members of the education corporation's board are involved in self-dealing (working for their own benefit, or the benefit of their friends and family). Please note that simply confronting the involved trustee is not usually a sufficient answer.

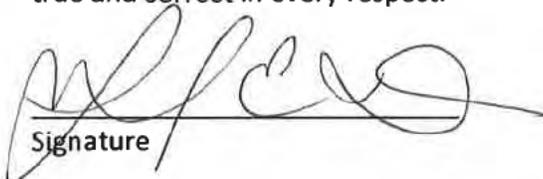
I would follow the organization's Conflict of Interest policy (Code of Ethics). I would timely raise the conflict to the Board Chairperson or, if the Board Chairperson were involved in the purported self-dealing, the Vice Board Chairperson. I would also raise the conflict to the Head of the organization and the General Counsel (if there were such a person) of the organization. I would ensure the appropriate actions were taken according to the Conflict of Interest Policy.

#### Other

18. Please affirm that you have read the education corporation's by-laws and conflict-of-interest policies (Code of Ethics).  I affirm.
19. Please provide any other information that you feel pertinent to the SUNY Charter Schools Institute's review.

### **Certification**

I, Jenny Sedlis, certify to the best of my knowledge and ability that the information I am providing to the State University of New York/Charter Schools Institute in regards to my application to serve as a member of the board of trustees of the Zeta Charter Schools – New York City is true and correct in every respect.

  
Signature

6/27/17  
Date

**Please submit this form with the RFI form to the Institute or via mail, facsimile or e-mail (in PDF with signature) to:**

SUNY Charter Schools Institute  
41 State Street, Suite 700  
Albany, New York 12207  
(518) 445-4250 (phone)  
(518) 320-1572 (fax)  
[charters@suny.edu](mailto:charters@suny.edu) (email)

**Request for Information from  
Prospective Charter School Education Corporation Trustee  
FORM**

Please provide the following information.

Background

1. Name of charter school education corporation for which you intend to serve as a trustee.  
Zeta Charter Schools – New York City
  
2. Full name: Keri Hoyt  
Home Address: [REDACTED] New York 10026  
Business Name/Address: [REDACTED] NY 10003  
Home telephone No.: [REDACTED]  
Work telephone No.: [REDACTED]  
E-mail address: [REDACTED]
  
3. A brief educational and employment history (you may attach a resume):  
 Resume attached.
  
4. Please affirm that you will be at least 18 years old by the date of appointment to the education corporation's board.  I affirm.
  
5. Please indicate whether you currently or have previously served on a board of a school district, another charter school education corporation, a non-public school or any not-for-profit corporation (to the extent not otherwise indicated in your response to Item 3, above).  
 Does not apply to me.  Yes.

**I SERVE ON THE BOARD OF KEPLER, A NONPROFIT HIGHER EDUCATION PROGRAM IN KIGALI, RWANDA, OFFERING ONLINE COURSES AND OTHER EDUCATION TECHNOLOGY PRACTICES IN A BLENDED LEARNING CURRICULUM, WITH THE GOAL OF LOWERING THE COST OF HIGHER EDUCATION WITHOUT A REDUCTION IN ACADEMIC QUALITY OR OUTCOMES.**

6. Please indicate if you have ever been convicted of a misdemeanor related to honesty or trustworthiness, or a felony. If the answer to this question is yes, please provide details of the offense, the date, disposition, etc.  Does not apply to me.  Yes, .
  
7. Please indicate if you have ever entered into a settlement agreement, consent decree, adjournment in contemplation of dismissal, assurance of discontinuance or other, similar agreement with the Securities Exchange Commission, Internal Revenue Service, the U.S. attorney general or the attorney general of any state, a U.S. or district attorney or any other law enforcement or regulatory body concerning the discharge of your duties as a board member of a for-profit or not-for profit entity or as an executive of such entity. If the answer to this question is yes, please provide details of the agreement.  
 Does not apply to me.  Yes, .

Conflicts

8. Please indicate whether you or your spouse knows any of the other charter school education corporation trustees, or prospective or former trustees. If so, please indicate the precise nature of your relationship.  I / we do not know any such trustees.  Yes,

**I HAVE WORKED WITH JENNY SEDLIS AND SHANNON KETE AT SUCCESS ACADEMY CHARTER SCHOOLS. AND, WORKED WITH KEN HIRSH THROUGH HIS SUPPORT OF SUCCESS ACADEMY CHARTER SCHOOLS.**

9. Please indicate whether you or your spouse knows any person who is, or has been in the last two years, an employee of the education corporation. If so, indicate the precise nature of your relationship.  
 I / we do not know any such employees.  Yes,

**THE EDUCATION CORPORATION DOES NOT YET HAVE ANY EMPLOYEES. HOWEVER, I HAVE WORKED WITH EMILY KIM, MEGHAN MACKAY, AND JESSICA STEIN AT SUCCESS ACADEMY CHARTER SCHOOLS.**

10. Please indicate whether you or your spouse knows anyone who is doing, or plans to do, business with the education corporation or any of the schools it has the authority to operate (whether as an individual or as a director, officer, employee or agent of an entity). If so, indicate and describe the precise nature of your relationship and the nature of the business that such person or entity is transacting or will be transacting with the education corporation.  I / we do not know any such persons.  Yes,
11. Please indicate if you, your spouse or other immediate family members anticipate conducting, or are conducting, any business with the education corporation or any school it has the authority to operate. If so, please indicate the precise nature of the business that is being or will be conducted.  I / we do not anticipate conducting any such business.  Yes,
12. If the education corporation or any of the schools it has the authority to operate contracts with an educational service provider (a management company, whether for-profit or not-for-profit), please indicate whether you or your spouse know any employees, officers, owners, directors or agents of that provider. If the answer is in the affirmative, please describe any such relationship.  
 Not applicable because the education corporation does not contract with a management company or charter management organization.  
 I / we do not know any such persons.  
 Yes,
13. If the education corporation or any of the schools it has the authority to operate contracts with an educational service provider, please indicate whether you, your spouse or other immediate family members have a direct or indirect ownership, employment, contractual or management interest in the provider. For any interest indicated, please provide a detailed description.  N/A.  I / we have no such interest.  Yes,
14. If the education corporation or any of the schools it has the authority to operate is partnered with an educational service provider, please indicate if you, your spouse or other

immediate family member anticipate conducting, or are conducting, any business with the provider. If so, please indicate the precise nature of the business that is being or will be conducted.  N/A.  I / we or my family do not anticipate conducting any such business.  Yes, .

15. Please indicate whether you, your spouse or other immediate family members are a director, officer, employee, partner or member of, or are otherwise associated with, any organization which filed an application in conjunction with the education corporation or any of the schools it has the authority to operate, i.e., is partnered with the education corporation. (For the identity of all such organizations, please consult with the chair of the board.) To the extent you have provided this information in response to prior items, you may so indicate.  Does not apply to me, my spouse or family.  Yes, .
16. Please indicate any potential ethical or legal conflicts of interests that would, or are likely to, exist should you be approved for service on the education corporation board. Please note that being a parent of a school student, serving on another charter school's board or being employed by the school are conflicts that should be disclosed, but do not make you automatically ineligible to serve as a trustee.  None.  Yes, .
17. Please indicate how you would handle a situation in which you believe one or more members of the education corporation's board are involved in self-dealing (working for their own benefit, or the benefit of their friends and family). Please note that simply confronting the involved trustee is not usually a sufficient answer.

**I WOULD FOLLOW THE ORGANIZATION'S CONFLICT OF INTEREST POLICY (CODE OF ETHICS). I WOULD TIMELY RAISE THE CONFLICT TO THE BOARD CHAIRPERSON OR, IF THE BOARD CHAIRPERSON WERE INVOLVED IN THE PURPORTED SELF-DEALING, THE VICE BOARD CHAIRPERSON. I WOULD ALSO RAISE THE CONFLICT TO THE HEAD OF THE ORGANIZATION AND THE GENERAL COUNSEL (IF THERE WERE SUCH A PERSON) OF THE ORGANIZATION. I WOULD ENSURE THE APPROPRIATE ACTIONS WERE TAKEN ACCORDING TO THE CONFLICT OF INTEREST POLICY.**

Other

18. Please affirm that you have read the education corporation's by-laws and conflict-of-interest policies (Code of Ethics).  I affirm.
19. Please provide any other information that you feel pertinent to the SUNY Charter Schools Institute's review.

### **Certification**

I, Keri Hoyt, certify to the best of my knowledge and ability that the information I am providing to the State University of New York/Charter Schools Institute in regards to my application to serve as a member of the board of trustees of the Zeta Charter Schools – New York City is true and correct in every respect.

  
Signature

0127/17  
Date

**Please submit this form with the RFI form to the Institute or via mail, facsimile or e-mail (in PDF with signature) to:**

SUNY Charter Schools Institute  
41 State Street, Suite 700  
Albany, New York 12207  
(518) 445-4250 (phone)  
(518) 320-1572 (fax)  
[charters@suny.edu](mailto:charters@suny.edu) (email)

**Request for Information from  
Prospective Charter School Education Corporation Trustee  
FORM**

Please provide the following information.

Background

1. Name of charter school education corporation for which you intend to serve as a trustee.  
Zeta Charter Schools – New York City
2. Full name: Shannon Kete  
Home Address: [REDACTED] New York 11201  
Business Name/Address: [REDACTED] NY 10005  
Home telephone No.: [REDACTED]  
Work telephone No.: [REDACTED]  
E-mail address: [REDACTED]
3. A brief educational and employment history (you may attach a resume):  
 Resume attached.
4. Please affirm that you will be at least 18 years old by the date of appointment to the education corporation's board.  I affirm.
5. Please indicate whether you currently or have previously served on a board of a school district, another charter school education corporation, a non-public school or any not-for-profit corporation (to the extent not otherwise indicated in your response to Item 3, above).  
 Does not apply to me.  Yes.

**I SERVE ON THE BOARD OF THE LITERACY DESIGN COLLABORATIVE, A NONPROFIT ORGANIZATION THAT EQUIPS EDUCATORS TO EFFECTIVELY TEACH READING, WRITING, SPEAKING, AND LISTENING IN ANY SUBJECT AREA.**

**I AM AN ADVISOR TO HADANOU COLLECTIVE, A COLORADO-BASED NONPROFIT ORGANIZATION THAT EMPOWERS STUDENTS, EDUCATORS, AND COMMUNITIES TO TRANSFORM THE SYSTEM IN 3 WAYS: CREATING CENTERS IN PUBLIC SCHOOLS, OPENING NEW STANDALONE SCHOOLS, AND SCALING ITS OVERALL APPROACH TO AUTHENTIC EDUCATION**

**I SERVED ON THE BOARD OF ACHIEVEMENT FIRST, BUSHWICK – FROM APPROXIMATELY 2005-2009. ACHIEVEMENT FIRST IS NON-PROFIT THAT RUNS A NETWORK OF CHARTER SCHOOLS IN NY, CT AND RI.**

6. Please indicate if you have ever been convicted of a misdemeanor related to honesty or trustworthiness, or a felony. If the answer to this question is yes, please provide details of the offense, the date, disposition, etc.  Does not apply to me.  Yes, .

7. Please indicate if you have ever entered into a settlement agreement, consent decree, adjournment in contemplation of dismissal, assurance of discontinuance or other, similar agreement with the Securities Exchange Commission, Internal Revenue Service, the U.S. attorney general or the attorney general of any state, a U.S. or district attorney or any other law enforcement or regulatory body concerning the discharge of your duties as a board member of a for-profit or not-for profit entity or as an executive of such entity. If the answer to this question is yes, please provide details of the agreement.
- Does not apply to me.  Yes, .

#### Conflicts

8. Please indicate whether you or your spouse knows any of the other charter school education corporation trustees, or prospective or former trustees. If so, please indicate the precise nature of your relationship.  I / we do not know any such trustees.  Yes,

**I HAVE WORKED WITH JENNY SEDLIS AND KERI HOYT AT SUCCESS ACADEMY CHARTER SCHOOLS.**

9. Please indicate whether you or your spouse knows any person who is, or has been in the last two years, an employee of the education corporation. If so, indicate the precise nature of your relationship.
- I / we do not know any such employees.  Yes, .

**THE EDUCATION CORPORATION DOES NOT YET HAVE ANY EMPLOYEES. HOWEVER, I HAVE WORKED WITH EMILY KIM, MEGHAN MACKAY, AND JESSICA STEIN AT SUCCESS ACADEMY CHARTER SCHOOLS.**

10. Please indicate whether you or your spouse knows anyone who is doing, or plans to do, business with the education corporation or any of the schools it has the authority to operate (whether as an individual or as a director, officer, employee or agent of an entity). If so, indicate and describe the precise nature of your relationship and the nature of the business that such person or entity is transacting or will be transacting with the education corporation.  I / we do not know any such persons.  Yes, .
11. Please indicate if you, your spouse or other immediate family members anticipate conducting, or are conducting, any business with the education corporation or any school it has the authority to operate. If so, please indicate the precise nature of the business that is being or will be conducted.  I / we do not anticipate conducting any such business.  Yes, .
12. If the education corporation or any of the schools it has the authority to operate contracts with an educational service provider (a management company, whether for-profit or not-for-profit), please indicate whether you or your spouse know any employees, officers, owners, directors or agents of that provider. If the answer is in the affirmative, please describe any such relationship.
- Not applicable because the education corporation does not contract with a

management company or charter management organization.

I / we do not know any such persons.

Yes,

13. If the education corporation or any of the schools it has the authority to operate contracts with an educational service provider, please indicate whether you, your spouse or other immediate family members have a direct or indirect ownership, employment, contractual or management interest in the provider. For any interest indicated, please provide a detailed description.  N/A.  I / we have no such interest.  Yes,
14. If the education corporation or any of the schools it has the authority to operate is partnered with an educational service provider, please indicate if you, your spouse or other immediate family member anticipate conducting, or are conducting, any business with the provider. If so, please indicate the precise nature of the business that is being or will be conducted.  N/A.  I / we or my family do not anticipate conducting any such business.  Yes,
15. Please indicate whether you, your spouse or other immediate family members are a director, officer, employee, partner or member of, or are otherwise associated with, any organization which filed an application in conjunction with the education corporation or any of the schools it has the authority to operate, i.e., is partnered with the education corporation. (For the identity of all such organizations, please consult with the chair of the board.) To the extent you have provided this information in response to prior items, you may so indicate.  Does not apply to me, my spouse or family.  Yes,
16. Please indicate any potential ethical or legal conflicts of interests that would, or are likely to, exist should you be approved for service on the education corporation board. Please note that being a parent of a school student, serving on another charter school's board or being employed by the school are conflicts that should be disclosed, but do not make you automatically ineligible to serve as a trustee.  None.  Yes,
17. Please indicate how you would handle a situation in which you believe one or more members of the education corporation's board are involved in self-dealing (working for their own benefit, or the benefit of their friends and family). Please note that simply confronting the involved trustee is not usually a sufficient answer.

**I WOULD FOLLOW THE ORGANIZATION'S CONFLICT OF INTEREST POLICY (CODE OF ETHICS). I WOULD TIMELY RAISE THE CONFLICT TO THE BOARD CHAIRPERSON OR, IF THE BOARD CHAIRPERSON WERE INVOLVED IN THE PURPORTED SELF-DEALING, THE VICE BOARD CHAIRPERSON. I WOULD ALSO RAISE THE CONFLICT TO THE HEAD OF THE ORGANIZATION AND THE GENERAL COUNSEL (IF THERE WERE SUCH A PERSON) OF THE ORGANIZATION. I WOULD ENSURE THE APPROPRIATE ACTIONS WERE TAKEN ACCORDING TO THE CONFLICT OF INTEREST POLICY.**

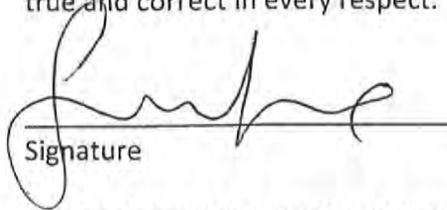
Other

18. Please affirm that you have read the education corporation's by-laws and conflict-of-interest policies (Code of Ethics).  I affirm.

19. Please provide any other information that you feel pertinent to the SUNY Charter Schools Institute's review.

### Certification

I, Shannon Kete, certify to the best of my knowledge and ability that the information I am providing to the State University of New York/Charter Schools Institute in regards to my application to serve as a member of the board of trustees of the Zeta Charter Schools – New York City is true and correct in every respect.

  
Signature

7/5/17  
Date

**Please submit this form with the RFI form to the Institute or via mail, facsimile or e-mail (in PDF with signature) to:**

SUNY Charter Schools Institute  
41 State Street, Suite 700  
Albany, New York 12207  
(518) 445-4250 (phone)  
(518) 320-1572 (fax)  
[charters@suny.edu](mailto:charters@suny.edu) (email)

**Request for Information from  
Prospective Charter School Education Corporation Trustee  
FORM**

Please provide the following information.

Background

1. Name of charter school education corporation for which you intend to serve as a trustee.  
Zeta Charter Schools New York City
  
2. Full name: Nicole Brisbane  
Home Address: [REDACTED]  
Business Name/Address: [REDACTED]  
New York, NY 10038  
Home telephone No.: [REDACTED]  
Work telephone No: [REDACTED]  
E-mail address: [REDACTED]
  
3. A brief educational and employment history (you may attach a resume):  
 Resume attached.
  
4. Please affirm that you will be at least 18 years old by the date of appointment to the education corporation's board.  I affirm.
  
5. Please indicate whether you currently or have previously served on a board of a school district, another charter school education corporation, a non-public school or any not-for-profit corporation (to the extent not otherwise indicated in your response to Item 3, above).  
 Does not apply to me.  Yes.
  
6. Please indicate if you have ever been convicted of a misdemeanor related to honesty or trustworthiness, or a felony. If the answer to this question is yes, please provide details of the offense, the date, disposition, etc.  Does not apply to me.  Yes, .
  
7. Please indicate if you have ever entered into a settlement agreement, consent decree, adjournment in contemplation of dismissal, assurance of discontinuance or other, similar agreement with the Securities Exchange Commission, Internal Revenue Service, the U.S. attorney general or the attorney general of any state, a U.S. or district attorney or any other law enforcement or regulatory body concerning the discharge of your duties as a board member of a for-profit or not-for profit entity or as an executive of such entity. If the answer to this question is yes, please provide details of the agreement.  
 Does not apply to me.  Yes, .

Conflicts

8. Please indicate whether you or your spouse knows any of the other charter school education corporation trustees, or prospective or former trustees. If so, please indicate the precise nature of your relationship.  I / we do not know any such trustees.  Yes,

**I HAVE WORKED WITH JENNY SEDLIS IN HER ROLE AS EXECUTIVE DIRECTOR OF STUDENTSFIRSTNY. I ALSO KNEW KERI HOYT IN HER FORMER ROLE AT SUCCESS ACADEMY CHARTER SCHOOLS. KEN HIRSCH IS SOMEONE I COMMUNICATE WITH ABOUT MY WORK THROUGH DEMOCRATS FOR EDUCATION REFORM**

9. Please indicate whether you or your spouse knows any person who is, or has been in the last two years, an employee of the education corporation. If so, indicate the precise nature of your relationship.

I / we do not know any such employees.  Yes, .

**THE EDUCATION CORPORATION DOES NOT YET HAVE ANY EMPLOYEES. HOWEVER, I HAVE WORKED WITH EMILY KIM IN HER ROLE AT SUCCESS ACADEMY.**

10. Please indicate whether you or your spouse knows anyone who is doing, or plans to do, business with the education corporation or any of the schools it has the authority to operate (whether as an individual or as a director, officer, employee or agent of an entity). If so, indicate and describe the precise nature of your relationship and the nature of the business that such person or entity is transacting or will be transacting with the education corporation.  I / we do not know any such persons.  Yes, .

11. Please indicate if you, your spouse or other immediate family members anticipate conducting, or are conducting, any business with the education corporation or any school it has the authority to operate. If so, please indicate the precise nature of the business that is being or will be conducted.  I / we do not anticipate conducting any such business.  Yes, .

12. If the education corporation or any of the schools it has the authority to operate contracts with an educational service provider (a management company, whether for-profit or not-for-profit), please indicate whether you or your spouse know any employees, officers, owners, directors or agents of that provider. If the answer is in the affirmative, please describe any such relationship.

Not applicable because the education corporation does not contract with a management company or charter management organization.

I / we do not know any such persons.

Yes, .

13. If the education corporation or any of the schools it has the authority to operate contracts with an educational service provider, please indicate whether you, your spouse or other immediate family members have a direct or indirect ownership, employment, contractual or management interest in the provider. For any interest indicated, please provide a detailed description.  N/A.  I / we have no such interest.  Yes, .

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15. Please indicate whether you, your spouse or other immediate family members are a director, officer, employee, partner or member of, or are otherwise associated with, any organization which filed an application in conjunction with the education corporation or any of the schools it has the authority to operate, i.e., is partnered with the education corporation. (For the identity of all such organizations, please consult with the chair of the board.) To the extent you have provided this information in response to prior items, you may so indicate.  Does not apply to me, my spouse or family.  Yes, .
16. Please indicate any potential ethical or legal conflicts of interests that would, or are likely to, exist should you be approved for service on the education corporation board. Please note that being a parent of a school student, serving on another charter school's board or being employed by the school are conflicts that should be disclosed, but do not make you automatically ineligible to serve as a trustee.  None.  Yes, .
17. Please indicate how you would handle a situation in which you believe one or more members of the education corporation's board are involved in self-dealing (working for their own benefit, or the benefit of their friends and family). Please note that simply confronting the involved trustee is not usually a sufficient answer.

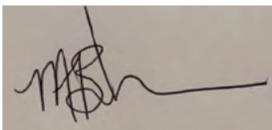
**I WOULD FOLLOW THE ORGANIZATION'S CONFLICT OF INTEREST POLICY (CODE OF ETHICS). I WOULD TIMELY RAISE THE CONFLICT TO THE BOARD CHAIRPERSON OR, IF THE BOARD CHAIRPERSON WERE INVOLVED IN THE PURPORTED SELF-DEALING, THE VICE BOARD CHAIRPERSON. I WOULD ALSO RAISE THE CONFLICT TO THE HEAD OF THE ORGANIZATION AND THE GENERAL COUNSEL (IF THERE WERE SUCH A PERSON) OF THE ORGANIZATION. I WOULD ENSURE THE APPROPRIATE ACTIONS WERE TAKEN ACCORDING TO THE CONFLICT OF INTEREST POLICY.**

Other

18. Please affirm that you have read the education corporation's by-laws and conflict-of-interest policies (Code of Ethics).  I affirm.
19. Please provide any other information that you feel pertinent to the SUNY Charter Schools Institute's review.

**Certification**

I, Nicole Brisbane, certify to the best of my knowledge and ability that the information I am providing to the State University of New York/Charter Schools Institute in regards to my application to serve as a member of the board of trustees of the Zeta Charter Schools New York City is true and correct in every respect.



July 5, 2017

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Please submit this form with the RFI form to the Institute or via mail, facsimile or e-mail (in PDF with signature) to:**

SUNY Charter Schools Institute  
41 State Street, Suite 700  
Albany, New York 12207  
(518) 445-4250 (phone)  
(518) 320-1572 (fax)  
[charters@suny.edu](mailto:charters@suny.edu) (email)

## 15. District and Schools Relations

### (a) Relationship Strategies

Zeta Schools NYC is committed to building positive relationships and partnerships with the school districts where the proposed schools will be located: CSDs 9 and 12. Zeta schools are public, community schools, and we strive to maintain positive relationships with the communities in which our schools are located.

Zeta proactively sought input from the Community Education Councils (“CECs”) of each district as it prepared its proposals. As further outlined in **Response 4(a) - Description and Analysis of Community Outreach Efforts**, Zeta reached out to both CEC 9 and CEC 12 on December 3, 2019 to share information about its proposals, to solicit feedback, and to request an opportunity to meet with the CEC to discuss its proposals. Zeta CMO’s CEO, Emily A. Kim, met with CEC 9 on December 18, 2018 to discuss the proposal to open a school in CSD 9 in August 2020. At this meeting, Ms. Kim shared a presentation about Zeta, its school model, and the proposed school (a copy of the materials shared by Ms. Kim at the meeting is included in **Response 4(d) - Evidence of Outreach**). The Council had a chance to ask questions and offer feedback; the Council had one question regarding Zeta’s charter authorizer, which Ms. Kim answered. On January 4, 2019, Calvin J. Diaz from Community Education Council 9 emailed Ms. Kim to request a copy of the presentation she shared with the Council on December 19. Mr. Diaz further noted that while he the Council did not have quorum and could not vote at that meeting, he was hopeful that the Council would vote in favor of a letter of support for Zeta at the next meeting with quorum.

Zeta also plans to meet with CEC 12 to discuss its proposal to open a school in CSD 12 in August 2020. CEC 12 responded to Zeta’s initial outreach to say that they would love to have Zeta present to the Council, but that the next meeting is not until March 13, 2019. Zeta is on the agenda for the March meeting and will share details of its proposal with CEC 12 and respond to questions and solicit additional feedback on that date.

In addition to outreach to the CECs, Zeta engaged with the target CSDs, including reaching out to superintendents and family support coordinators of each CSD to inform them of Zeta’s proposals and request feedback. Zeta also undertook extensive outreach to build positive relationships with other community members in CSDs 9 and 12, including by holding public community meetings in each CSD; soliciting feedback on its proposals through website and social media postings; posting hundreds of flyers in each CSD notifying community members of the proposed schools and soliciting feedback; and gathering petition signatures from community members in each CSD who support the proposals. Zeta further solicited feedback and received support from elected officials and Community Boards serving each CSD. On January 7, 2019, Zeta’s CEO and Zeta Bronx 1’s Managing Director of School gave a tour of Zeta Bronx 1 to New York City Council Member Ayala, who represents the 8th City Council District, which overlaps with CSD 9, and discussed our program and proposal with her. For further information on this

outreach and support, see **Response 4(a) - Description and Analysis of Community Outreach Efforts**.

This initial outreach to the CECs and the communities they serve was intended to build the foundation of an ongoing, positive relationship. Zeta intends to engage with the district on an ongoing basis. The exact nature of this ongoing relationship is dependent on a variety of factors, including the ultimate facility type and location, but planned strategies for engaging with the district may include, but are not limited to:

- **Regular, Informal Touchpoints and Communications** - The proposed schools will have frequent touchpoints with the DOE as part of their operations, such as through coordinating Metrocard access for students. The proposed schools will use these touchpoints and partnerships as opportunities to build relationships with district partners and will also seek out opportunities to recognize successful relationships.
- **Co-Location** - In the event that the proposed schools are able to obtain co-located DOE space, they will frequently engage with their co-located district schools, including on matters such as shared space, and will work closely with each school's leadership to promote a positive working relationship. If there is interest from co-located schools, and if operationally and programmatically feasible, the schools may also seek to build academic or other programmatic partnerships with co-located schools, such as through buddy reading programs - where older students from one school read with younger student buddies from the other school - or building-wide community service projects.
- **Community Meetings** - As described above, Zeta has previously attended CEC and Community Board meetings in the school district to develop relationships and introduce district and community partners to its school plans and proposals. As appropriate, at key points during its growth that affect the community, Zeta may further engage with these or similar community panels and solicit feedback.
- **Sharing Resources** - Zeta has plans, further described in **Response 15(b) - Schools Partnerships** below, to publicly share resources that may benefit other district schools, such as curriculum and operational resources.
- **School Tours** - Zeta regularly opens its schools to partners and other educators for tours, as a way of sharing its model and practices and providing opportunities for discussion and learning with other educators. Zeta will welcome elected officials and other representatives of the district and district schools to tour our schools.

The proposed schools will be open to and will seek out other opportunities for relationship-building and partnership with the district, as needs and opportunities arise. Zeta has a history of engaging with school district partners with respect to its existing schools. Although its existing schools are not co-located with district schools, Zeta worked with the district school that neighbors Zeta Inwood 1, P.S. 48 Michael J. Buczek, to coordinate a playground-sharing arrangement, as Zeta Inwood 1 had no access to a playground on its own premises. Zeta staff met with the principal of P.S. 48 and other members of the DOE several times to discuss and plan the arrangement. When Zeta staff saw that the playground, which is also used by P.S. 48's students, was in poor condition, Zeta worked with P.S. 48 to pursue needed repairs from

the DOE, which were completed in Summer 2018. Zeta also supported P.S. 48 in seeking additional funding for further playground improvements through capital funding requests. The proposed schools will seek out similar opportunities for partnership with schools in their communities.

We anticipate that the location of our facilities, including whether they are located in co-located space or private space, may impact the relationships that we are able to build with the district and community. If our schools are located in co-located space, there will be frequent and natural opportunities for relationship-building and partnership with the schools in our buildings, while if our schools are located in private facilities, we will need to more proactively seek out district partnerships. Co-locations are becoming less and less common in New York City, but we have worked to build relationships with the current administration as well as our communities and districts. We will continue to seek opportunities to build relationships, as educating the children of New York City must be done in partnership with the DOE and the districts we serve.

### **(b) School Partnerships**

As further set forth in **Response 1(a) - Community Description and Need**, CSDs 9 and 12 where the proposed schools seek to locate contain high numbers of low-performing schools. In CSD 9, only 29.5% of students passed the state ELA exam, and only 25.7% passed the state Math exam. The proficiency rates for students in CSD 9 lagged 15.7 percentage points behind the state average and 17.1 percentage points behind the city average in ELA; and 18.8 percentage points behind the state average and 17.0 percentage points behind the city average in math. For students in CSD 12, the results were even more dire. In CSD 12, only 23.8% of students passed the state ELA exam, and only 18.2% passed the state Math exam. The proficiency rates for students in CSD 12 lagged 21.4 percentage points behind the state average and 22.9 percentage points behind the city average in ELA; and 26.3 percentage points behind the state average and 24.5 percentage points behind the city average in math.<sup>1</sup>

Across CSD 9, 48 out of 52 district schools with testing grades saw fewer than half of their students pass the 2018 math exam; at 23 or 52 schools, fewer than a quarter passed. In ELA, 47 of 52 schools had fewer than half of their students pass the 2018 exam and 18 schools had fewer than a quarter pass. Across CSD 12, none of the 37 schools with testing grades in 2018 had pass rates in math or ELA above 50%. In math, 32 of the 37 schools saw fewer than a quarter of students pass, and in ELA, 18 schools had fewer than a quarter of students pass. In particular, the following schools in each CSD demonstrated the lowest overall performance on the 2018 state tests:

#### CSD 9

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<sup>1</sup> Test results available at:

<http://schools.nyc.gov/Accountability/data/TestResults/ELAandMathTestResults>;  
<http://www.nysed.gov/news/2018/state-education-department-releases-spring-2018-grades-3-8-ela-math-assessment-results>

School Name	Math Proficiency (%)	ELA Proficiency (%)
New Directions Secondary School	0	5.6
I.S. 229 Roland Patterson	7	16.7
I.S. 313 School of Leadership Development	11.2	14.2
I.S. 117 Joseph H. Wade	8.6	16.9
Urban Science Academy	11.3	16
New Millennium Business Academy Middle School	10.4	17.9
P.S. 073 Bronx	11.2	18
The New American Academy at Roberto Clemente State	14.1	16.8
J.H.S. 022 Jordan L. Mott	12.1	18.9
I.S. 219 New Venture School	10.1	21.9

### CSD 12

School Name	Math Proficiency (%)	ELA Proficiency (%)
Urban Assembly School for Wildlife Conservation	7.8	15.6
Fannie Lou Hamer Middle School	4.5	20.9
Entrada Academy	9.5	16.7
Fairmont Neighborhood School	14.7	12.6
I.S. X318 Math, Science & Technology Through Arts	9.3	19
J.H.S. 098 Herman Ridder	11.3	17.4
P.S. 092 Bronx	13.4	15.8
P.S. 212	10.9	18.8
Accion Academy	7.7	27
School of Performing Arts	14.5	20.2

Zeta plans to seek opportunities to improve the quality of education across CSDs 9 and 12. Studies have found that traditional public schools located near charters, including schools co-located with charter schools, experience spillover effects that lead to increased academic outcomes for students in these schools, including increased test scores.<sup>2</sup> The greater the

<sup>2</sup> Sarah A. Cordes, *In Pursuit of the Common Good: The Spillover Effects of Charter Schools on Public School Students in New York City*, Education Finance and Policy, available at <https://drive.google.com/file/d/0BxrKdaoARx08Y19ZdEF5emhxbTQ/view>.

number of charter schools, the greater the impact on the district.<sup>3</sup> This research points to the positive benefit of opening more high-quality charters, like the proposed schools, in CSD 9 (which currently only has 13 charter schools) and CSD 12 (which currently only has 7 charter schools).

In order to further support the low-performing schools in CSDs 9 and 12, Zeta plans to provide consultation, resources, and adaptable solutions to schools in the districts served by its schools. Through the launch of its first two schools, Zeta Schools NYC has begun to develop the curriculum, resources, processes, and procedures needed to grow and scale high-quality schools, and by launching two schools in August 2020, Zeta will have a test case for these materials, providing an opportunity to refine Zeta's process-based, scalable approach. These processes will lay a critical foundation for excellent, growing, scaling schools and will be an invaluable resource to other schools looking to improve practices and school quality. Zeta Schools NYC will seek to share these resources with other schools upon request and, ultimately, hope to share certain materials publicly on our website. These resources and best practices will support district schools seeking opportunities to improve their student outcomes.

Zeta Schools NYC will also open the proposed schools for tours, a practice already in place at Zeta's existing schools. Zeta has conducted over 20 tours for partners, education reformers, elected officials, and other schools, with dozens more planned in the current school year. School tours provide opportunities for other educators to observe best practices and learn new ideas and alternative approaches. Tours also provide opportunities for open dialogue between Zeta and other educators about their innovative approaches in serving similar communities, which may lead to further opportunities for collaboration and partnership. Zeta will welcome district stakeholders seeking to engage in further learning and partnership to tour our schools, including district school leaders and elected officials.

Finally, as described in **Response 15(a) - Relationship Strategies** above, Zeta will seek out informal opportunities for partnership and engagement with district schools that will benefit those schools, such as the playground sharing and improvement partnership between Zeta Inwood 1 and its neighboring district school. Exact opportunities for such partnerships will depend on the location of and type of facilities obtained by the proposed schools. If the proposed schools are co-located in DOE buildings, there may be additional opportunities for collaboration between Zeta schools and its co-located schools, such as reading buddy programs or other academic partnerships that will improve learning opportunities for all involved schools.

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<sup>3</sup> *Id.*

## 16. Facility

### (a) Facility Needs

Zeta Schools NYC intends to submit a request for permanent co-located space for each proposed school. We will submit a written space request to the New York City Department of Education for public school facilities for the two proposed schools in CSD 9 and CSD 12, respectively. As further discussed in **Response 16(b) - Facility Selection** below, if permanent co-located space is unavailable, we will seek other facility options, including seeking private facilities or seeking facilities in another CSD.

We do not presently know which specific buildings the DOE may consider to co-locate the proposed two schools or whether co-located space will be available. Accordingly, the exact dimensions of the spaces are not yet known. However, each proposed school will need sufficient space to operate an elementary school, including classrooms for general instruction, specialist programming, and administrative space, adequate space for special education, resource rooms, and intervention, and access to a cafeteria for food services, a gymnasium for physical education, a nurse's office, and an auditorium for gatherings, performances, and events.

In the first year of operation, each school will require approximately 12.5 classrooms of approximately 770 square feet located in one hallway or section of the building in addition to the use of shared common spaces. For each school, eight full-sized classrooms are required for general instruction, and 4.5 rooms are required for administrative space, specialist classes, special education services, and other uses, including enrichment programs. By the fifth year, each school will require approximately 30 classrooms for primary instruction and approximately 10 rooms for administrative space, specialty classes, special education services, and other uses. If either school is not located in co-located space and shared common space is not available, the school will additionally require a cafeteria for food services, a gymnasium for physical education, a nurse's office, and an auditorium for gatherings, performances, and events.

### (b) Facility Selection

As mentioned in **Response 16(a) - Facility Needs** above, we intend to promptly submit written requests to the NYC DOE for co-located space in CSDs 9 and 12, respectively. We have reviewed the DOE's Under-Utilized Space Memorandum for the 2018-19 School Year.<sup>1</sup> The Under-Utilized Space memorandum lists 526 significantly underutilized DOE public school buildings (with 300 or more available seats), four of which are located in CSD 9 and six of which are located in CSD 12.

Before the proposed schools may co-locate in public school buildings, the DOE will need to carry out required processes under the law, including, but not limited to, Educational Impact Statements and Building Utilization Plans, pursuant to Education Law §§ 2590-h and 2853(3)(a-3)(2), and other provisions of the Charter Schools Act of 1998, as amended, and relevant DOE regulations. The DOE must hold hearings and then vote to co-locate the schools in public school buildings, pursuant to Education Law § 2590-h and other provisions of the Charter Schools Act of 1998, as amended.

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<sup>1</sup> NYC DOE Under-Utilized Space Memorandum for the 2018-2019 School Year As of December 11, 2018, available at <https://www.schools.nyc.gov/about-us/school-planning/district-planning>.

If our proposed schools are approved for co-located facilities, we will adhere to the DOE's third-party approval processes to get any necessary and/or appropriate renovations approved in a timely manner to ensure that the facilities will be ready prior to the first day of school. Through this process, we will work with the DOE to ensure that the schools meet all required specifications. If the DOE does not approve our proposed renovations, we will make any necessary changes to our renovation requests and re-submit them for approval. If the DOE ultimately does not approve our proposed renovations, we will re-allocate such proposed funding to future facilities planning activities and savings.

In the event that appropriate public facilities are not available in the requested CSD, we will search for private facilities in the designated CSD and seek facilities funding from the DOE pursuant to Education Law § 2853(3)(e). Our first two Zeta schools are currently located in private facilities, and our team is experienced in securing DOE private facilities funding, identifying facilities, negotiating private leases, and overseeing building renovations. We successfully secured and renovated two former Catholic school buildings for Zeta Bronx 1 and Zeta Inwood 1, using outside general contractors, project managers, and architects, completing our renovations in order to open school on time. In addition, several members of our founding team and Zeta Schools NYC board members have experience negotiating private leases, navigating facilities challenges, and overseeing renovations at other charter schools.

In the event that we are unable to obtain public or private facilities within the proposed schools' CSDs, our contingency plan is to work with the DOE to find co-located public school facilities in another CSD, seek private facilities in another CSD, or co-locate the school with another Zeta school temporarily while we seek permanent space. In the unlikely event that we are unable to secure a public or private facility, we will postpone school opening by one year.

**(c) Facility Related Conflicts of Interest**

Request is not applicable. In the event that we purchase or lease facilities, we will attempt to avoid any conflicts of interest. In the event that a potential conflict of interest should arise, we will adhere to our conflict of interest policy and take all necessary and appropriate steps to properly and ethically manage and address the conflict situation.

**16. Facility**

**(d) Additional Facility Information**

Request is not applicable.

## 17. Food Services

As part of Zeta Schools NYC’s commitment to mindfulness and wellness, the proposed schools will offer all students healthy food throughout the school day. Studies have linked healthy school meals with improved academic outcomes.<sup>1</sup> The importance of providing well-balanced, healthy meals is especially important for the proposed schools’ target populations, which include large numbers of low-income families. Children, particularly those from low-income families, typically eat two of their three daily meals at school, making it important that they have access to well-balanced, healthy meals to support their brain function and learning.<sup>2</sup>

Zeta Schools NYC has been approved by the New York State Education Department as a School Food Authority (“SFA”). As an SFA, Zeta Schools NYC is authorized to administer its own school food program, and, along with other Zeta schools, each of the proposed schools will participate in the federal School Breakfast Program and the National School Lunch Program, administered by the United States Department of Agriculture. Both programs offer free or reduced meals to all students who meet eligibility requirements. Typically, this includes students from households with incomes at or below 130% of the poverty level as qualifying for free meals, and students from households with incomes between 130% and 185% of the poverty level as qualifying for reduced-price meals.

Each proposed school will offer a hot or cold breakfast, snack, and lunch program to students. The schools will contract for food services with a third-party vendor. All meals will meet minimum nutrition requirements of the United States Department of Agriculture, including dietary guidelines and recommended daily allowances of protein, Vitamin A, Vitamin C, iron, calcium, and calories.

A sample weekly menu for the proposed schools is provided below:

	Monday	Tuesday	Wednesday	Thursday	Friday
Breakfast	Whole Grain Strawberry Zac Omega Bar with Fruit	Cinnamon Grahams 1oz with String Cheese and Fruit	Blueberry Burst Bagel with Cream Cheese Packet and Fruit	Autumn Spice Muffin with Fruit	Plain Bagel with Cream Cheese Packet and Fruit
Lunch	Taco Dippers Kit  Seasoned Green Beans	Sesame Chicken Wrap with Sesame Vinaigrette  Baby Carrots	N/A (half day)	Chicken Salad Sub Sandwich  Glazed Carrots  Fresh Fruit	Honey Mustard Chicken Wrap  Steamed Corn  Fresh Fruit

<sup>1</sup> See, e.g., Michael L. Anderson, Justin Gallagher, and Elizabeth Ramirez Ritchie, *School Meal Quality and Academic Performance*, available at [https://are.berkeley.edu/~mlanderson/pdf/school\\_lunch.pdf](https://are.berkeley.edu/~mlanderson/pdf/school_lunch.pdf)

<sup>2</sup> See “Study Shows Strong Nutrition Education Can Lead to Healthier Food Choices by Supplemental Nutrition Assistance Program (SNAP) Recipients”, available at <https://www.fns.usda.gov/pressrelease/2013/fns-001313>, citing a United States Department of Agriculture report entitled *Supplemental Nutrition Assistance Program Education and Evaluation Study (Wave II)*, available at <https://fns-prod.azureedge.net/sites/default/files/SNAPEdWavell.pdf>.

	Fresh Fruit	Edamame Fresh Fruit			
<b>Snack</b>	Roasted Sunflower Seeds with Fresh Fruit	Honey Wheat Crackers with 6oz 100% Fruit Juice	Whole Grain Cheddar Hot & Spicy Goldfish Crackers with Fresh Fruit	Whole Grain Strawberry Zac Attack Bar with Fresh Fruit	Whole Grain Goldfish Cheddar Crackers with Fresh Fruit

## 18. Health Services

Wellness is a core element of Zeta Schools NYC's school design, and Zeta Schools NYC will ensure that each of its schools is equipped to serve the health needs of its students.

Each of Zeta Schools NYC's proposed schools will comply with all applicable health services requirements of the New York Commissioner's Regulations. To the extent possible, the schools will ensure that students have access to on-site health care services similar to those services available to children attending area public schools, including automated external defibrillator ("AED") equipment with ready and appropriate access for use during emergencies. At least one staff member will be trained in the operation and use of such equipment during the school day and at any on-site school-sponsored event. Zeta Schools NYC will also ensure that an appropriate number of staff at each proposed school are trained in Cardiopulmonary Resuscitation ("CPR").

Each school will work with the nurse and/or School-Based Health Center at the co-located district school furnished by the New York City Department of Health and Mental Hygiene or another community program to provide health services, or will coordinate with the New York City Department of Health and Mental Hygiene or another community program to provide health services. These health services will include:

- Maintenance of cumulative health records,
- Medication storage and provision, including for students who require it on a daily basis,
- Emergency care of ill or injured students, and
- Compliance with and enforcement of mandatory immunization requirements

In selecting facilities for the proposed schools (other than co-located facilities that are already equipped with a nurse and nurse's office), Zeta Schools NYC will ensure that the facilities are equipped with a location that can be used for the provision of medical services. The school will store all health records for enrolled students in a secure location to which only authorized personnel have access.

For students who require medication, the schools will ensure that families have completed medication administration forms ("MAFs") authorizing provision of medication during the school day. Medications administered at school will be properly stored in a secure location and administered only by authorized personnel (which may include the student, if the student is authorized to self-administer). Zeta Schools NYC will also adopt policies to allow for the administration of medication on field trips as needed.

The school will mandate that students entering the school will follow New York State requirements for immunization, as set forth by the New York State Department of Health. Zeta will notify parents of the immunization requirements each school year. The requirements include the required doses for:

- Diphtheria, Tetanus, Pertussis (DTaP, DTP, Tdap),
- Polio (IPV, OPV),
- Measles/Mumps/Rubella,
- Hepatitis B, and
- Varicella

Each year, parents or guardians of each Zeta student will be required to present documentation that their child has received all required doses of vaccines or at least one dose of each of the required vaccines and is waiting to receive the subsequent doses at the appropriate time intervals. Exemptions to immunization requirements will only be granted in accordance with New York Public Health Law; accordingly, an exemption may be granted if a licensed physician certifies that an immunization would be detrimental to the student's health, or if the student's parent or guardian holds genuine and sincere religious beliefs that are contrary to such immunizations. Students who do not provide proof of immunization and who are not approved for an exemption will be excluded from school in accordance with applicable laws until proof of immunization has been provided.

## **19. Transportation**

Since the proposed schools will be in session on many days when the New York City public schools are not in session and during hours outside of the Department of Education normal hours of operation, it is impractical for students to use yellow bus service that is provided by the New York City School District to students attending nonpublic schools who would qualify under § 2853(4)(b) and § 3635 of the Education Law.

Families will be responsible for arranging and providing transportation for students to and from the school. The school will help ease this burden by working with the New York City School District to obtain free or reduced-fare student transportation passes from the New York City Transit Authority as available.

In special circumstances where busing is required by law, such as students whose IEPs mandate busing or homeless students who are entitled to receive busing, the proposed schools will work with the Office of Pupil Transport (“OPT”) to coordinate busing services. The schools will work closely with OPT to ensure that busing is available to students on all days that the proposed schools are in session (including days that the Department of Education schools are not in session).

## 20. Insurance

The proposed schools will be part of the education corporation, Zeta Schools NYC. Zeta Schools NYC will maintain the following coverages for all Zeta schools, including the proposed schools.

The insurance carried by Zeta Schools NYC will include, but may not be limited to:

- Commercial General Liability Package, including Employee Benefits Liability and Business Personal Property & Tenant Improvements & Betterments Coverage
- Hired & Non-Owned Auto Coverage (there are no vehicles owned or leased by Zeta Schools NYC or any of its schools)
- Educators Legal Liability, including Educators Professional, Directors & Officers, and Employment Practices Liability
- Excess Liability Coverage for General Liability and Educators Legal Liability
- Fiduciary Liability
- Student Accident
- Catastrophic Student Accident

Zeta Schools NYC will maintain insurance policies in its own name. Each Zeta school is a named insured under the insurance plans.

Zeta Schools NYC currently holds insurance in the policies below at the levels also listed below. Zeta will hold coverage in at least the amounts below but may choose to adjust these levels as appropriate based on changes in its operations or property or as recommended by the insurer.

Zeta Schools NYC currently holds:

- General Liability coverage through Markel Insurance Company, including:
  - General Liability: \$1 million limit per occurrence; \$3 million aggregate limit
  - Business Personal Property & Tenant Improvements & Betterments: \$6,081,855 aggregate limit
  - Hired & Non-Owned Auto: \$1,000,000 combined single limit
- Educators Legal Liability coverage through Markel Insurance Company, including Educators Professional, Directors & Officers, and Employment Practices Liability coverage: \$10,000,000 limit per occurrence and in aggregate
- First layer of Excess Liability coverage for General Liability through Markel Insurance Company: \$10,000,000 limit per occurrence and in the aggregate
- Second layer of Excess Liability coverage for General Liability and Educators Legal Liability through Starstone Specialty Insurance Company: \$15,000,000 limit per occurrence and in the aggregate
- Fiduciary Liability coverage with Hudson Insurance Company: \$1,000,000 limit per occurrence and in the aggregate
- Student Accident coverage through United States Fire Insurance Company, including:
  - Accident Medical Expense Benefit: \$25,000 limit per occurrence and in the aggregate;

- Accidental Death & Dismemberment Benefit: \$15,000 limit per death, \$15,000 limit per single dismemberment, \$30,000 limit per double dismemberment, \$500,000 aggregate limit
- Catastrophic Student Accident coverage through United States Fire Insurance Company, including:
  - Excess Accidental Medical Benefit: \$5,000,000 limit per occurrence and in the aggregate
  - Accidental Death & Dismemberment Benefit: \$10,000 limit per occurrence, \$500,000 aggregate limit

Zeta maintains Workers Compensation insurance at levels required by the State of New York.

## 21. Fiscal Soundness

### (a) Budget Narrative

Zeta NYC 3 and Zeta NYC 4 will base their pre-opening and first 5-year charter term budgets on the existing model from Zeta Bronx 1 and Zeta Inwood 2, which were chartered in 2017 and opened in 2018. With a year of historical data from these schools, Zeta NYC 3 and Zeta NYC 4's budgets will be realistic and aligned with the larger network budget model included in the Business Plan.

The pre-opening year will be funded by the Charter School Planning grant (CSP). \$400,000 of the total \$800,000 CSP grant award will be used to primarily cover the salaries of the Managing Director of Schools/Principal, Operations Director, Operations Associate, and Community Alliance Associate, plus fringe benefits. With the exception of the Operations Associate, who is expected to be hired in April, the budgeted staff members are expected to begin in January. Along with Zeta CMO support, these staff members will play an essential role in setting up the school for a successful opening. Additional expenses covered by CSP in this period include financial services, ERATE application support, academic consultants, staff technology, staff recruitment, and student recruitment. The pre-opening year expenses are consistent with the pre-opening year expenses for Zeta Bronx 1 and Zeta Inwood 1 in 2017-18.

Starting in year 3, the school will operate entirely on recurring public revenue streams, and over the course of the first five years of operations, the schools will be 99% funded by district, state, and federal funds. Zeta CMO contributions total \$500,000 in years 1-2 to assist with school startup costs.

### Revenue Assumptions

- The budget template assumes a starting per pupil rate of \$15,307, the current rate for 2018-19. Our budget model is based on a 2.5% per pupil annual increase, so we anticipate a per pupil rate 5% higher than the current 2018-19 rate in the first year of operations. Due to the budget template layout for per pupil increases, we have budgeted 3% increases in years 1-3 and 1% in year 4 to reach the 10% maximum increase over 5 years. Our enrollment model assumes 30 students per class in each grade. We will backfill seats in grades K-3 for full enrollment each year and anticipate a 4% attrition in grades 4 and 5. The enrollment plan is as follows:

Grade	2020-21	2021-22	2022-23	2023-24	2024-25
K	90	60	90	90	90
1	90	90	90	90	90
2		90	90	90	90
3			90	90	90
4				86	86
5					83
<b>TOTAL</b>	<b>180</b>	<b>240</b>	<b>360</b>	<b>446</b>	<b>529</b>

- Special education revenue is based on a 12% special education population, which is conservatively estimated below the current rate at either Zeta Bronx 1 or Zeta Inwood 1. Of this 12%, we anticipate 4% will receive services for 20-60% of the school week, funded at \$10,390/student, and 8% will receive services for over 60% of the school

week, funded at \$19,049/student. We do not anticipate an increase in funding per student during the first charter term.

- The Department of Youth and Community Development (DYCD) grant is budgeted in year 1 only and based on \$141,876 per school plus \$473/student. This is based on a 2.5% annual increase from the current 2018-19 funding level.
- Per Pupil Facility Assistance is budgeted at 30% of per pupil rate each year. Zeta NYC 3 and Zeta NYC 4 will request co-location within a NYC Department of Education building. In the event the school is unable to secure this space, this budget reflects the anticipated costs for a private facility.
- IDEA funding is budgeted at \$1,000 per student receiving special education services.
- Title IA funds are based on an 85% FRPL rate. We anticipate the school will receive \$450 per eligible FRPL student. This is consistent with other schools in the same districts.
- The school will serve meals that are compliant with USDA School Breakfast and National School Lunch Program requirements. The school will contract a private food vendor to provide student meals and request state and federal meal reimbursement. Based on an 85% FRPL rate, the budget model assumes an approximate 85% reimbursement rate per eligible student. The reimbursement rate is expected to increase 2.5% each year.
- CSP funds will cover \$400,000 of allowable expenses in year 1 to fully expend the total \$800,000 grant award.
- CMO contributions start at \$500,000 in year 1 and decrease to \$50,000 in year 2. The school will operate on public funds only in years 3-5.
- We anticipate ERATE funds will cover 75% of our technology needs each year for an approximate \$20,000 in total reimbursement funds. We assume a 2.5% increase each year.
- NYSTL, NYSSL, and NYLIBL provide \$88 per student for approved textbooks, software, and library books. We assume a 2.5% increase each year.

Over the first charter term, revenues start at \$5,385,122 in year 1 and increase to \$13,471,331 in year 5.

## Expenses

### Personnel

In year 1, personnel costs are 39% of the budget and increase to 45% in year 5. The average salaries included in the budget template are based on the highest paid position within each budget category. There will be fluctuation on an individual basis based on position, experience, and other qualifications. These fluctuations are reflected in the Business Plan budget model. The model also includes grade team leader stipends and a 5% bonus award. As the years go on, the model assumes a 2.5% annual increase in salaries. Zeta CMO will provide additional administrative support to allow the school an extensive instructional teaching staff model that is essential to the academic program.

The staffing matrix below details the growth plan over the first five years.

POSITION	2020-21	2021-22	2022-23	2023-24	2024-25
Managing Director of School/Principal	1.00	1.00	1.00	1.00	1.00
Resident Principal		0.50	0.50	0.50	0.50

Academic Director	1.00	1.00	2.00	3.00	3.00
Operations Director	1.00	1.00	1.00	1.00	1.00
Associate Operations Director					1.00
Operations Manager			1.00	1.00	
Operations Associate	1.00	1.00	1.00	1.00	1.00
Community Alliance Manager			1.00	1.00	1.00
Community Alliance Associate	1.00	1.00			1.00
Student Achievement Manager			1.00	1.00	1.00
Student Achievement Associate	1.00	1.00			
Receptionist & Operations Associate (60%) / Assistant to MD (40%)				1.00	1.00
<b>TOTAL ADMINISTRATIVE STAFF</b>	<b>6.00</b>	<b>6.50</b>	<b>8.50</b>	<b>10.50</b>	<b>11.50</b>
ES Head Teacher	6.00	8.00	12.00	15.00	18.00
ES ICT Teacher	2.00	3.00	4.00	5.00	6.00
ES Resident Teacher	3.00	4.00	6.00	9.00	10.00
ES Science Teacher	1.00	1.50	2.00	2.50	3.00
ES SETSS Teacher	1.00	1.00	1.00	1.00	1.00
ES Specialist Teacher	2.50	2.50	3.00	4.00	5.00
Z Lab Teacher				1.00	1.00
School Psychologist	1.00	1.00	2.00	2.00	3.00
<b>TOTAL INSTRUCTIONAL STAFF</b>	<b>16.50</b>	<b>21.00</b>	<b>30.00</b>	<b>39.50</b>	<b>47.00</b>
Kitchen Staff			0.50	1.25	1.25
<b>TOTAL NON-INSTRUCTIONAL STAFF</b>	<b>0.00</b>	<b>0.00</b>	<b>0.50</b>	<b>1.25</b>	<b>1.25</b>

Payroll taxes are budgeted at 9% and include the employer portion of social security, medicare, and unemployment insurance. Fringe benefits budgeted at 14% include a competitive health benefit package that is accessible to all schools in the network. This allows the school to offer a generous package to attract and retain employees in a competitive labor market. A retirement savings plan match of 3% of salaries is also included in the budget model. These benefit levels are competitive with similar schools in the district.

#### Contracted Services

Zeta NYC 3 and Zeta NYC 4's budget models include contracted services to cover outsourced annual audit services, school food compliance support, ERATE application support, accounting services, academic services, and IT support. We include a 1.5% annual increase for these services. The CMO fees are included at 15% of the per pupil revenue, IDEA funding, and Title I funds.

#### School Operations

- Student operational expenses are calculated on a per pupil or per classroom basis. These materials include classroom supplies, special education supplies, furniture/equipment, curriculum supplies, technology, field trips, student assessments, school food, extracurricular materials, and uniforms. Each of these per student rates increase 1.5% each year.

- Office expenses include a start up amount that is only applicable in year 1. In years 2-5, office expenses include supplies, staff events and appreciation, and copier costs. These costs increase 1.5% each year.
- All staff will have access to high-quality professional learning opportunities throughout their career at Zeta Schools NYC. The budget model allows for \$2,000/staff member in professional learning costs, with additional amounts for new teachers and an annual \$30,000 fixed amount for additional workshops for the school. These costs increase 1.5% each year.
- The budget model includes an approximate \$7,500 each year for staff recruitment. The CMO covers the majority of staff recruitment costs as part of their management agreement. The school expense covers costs for staff attrition and smaller expenses.
- Zeta NYC 3 and Zeta NYC 4 are committed to an extensive student outreach plan to ensure a diverse and engaged school community. Each year, the school will spend \$200,000 in direct student outreach efforts and school marketing. Direct student outreach expenses include application materials, events, meetings, mailings, and giveaways. As part of brand recognition in the neighborhoods, the marketing expenses will include direct media outreach, direct community outreach (field marketing), and brand development. This cost increases 1.5% each year.

#### Facility Operations

Zeta NYC 3 and Zeta NYC 4 intend to request co-location within a NYC Department of Education building. In the event the schools are unable to secure this space, the schools will lease private facilities. In this event, we anticipate that they would be located in temporary space for three years before moving to permanent facilities in year 4. In order to be conservative, the budget model includes costs for this option. The lease costs reflect a turnkey lease that includes operating costs, such as utilities, janitorial, and repairs. These occupancy costs are consistent with the private facilities secured for Zeta Bronx 1 and Zeta Inwood 1 in 2018. School insurance costs are covered by Zeta CMO pursuant to the management agreement as part of a larger network insurance plan.

#### Depreciation

Technology, equipment and furniture purchases are depreciated over a 5-year useful life estimate.

#### Escrow

The budget model includes the required \$25,000 per year for the first three years to be set aside for dissolution services in the event of a school closure.

### **(b) Financial Planning**

The financial planning capacity of Zeta Schools NYC will be both managed jointly by the Zeta CMO Chief Executive Officer, the Zeta CMO financial team, and the Managing Director/Principal of each school. Pursuant to the Academic and Business Services between Zeta Schools NYC and Zeta CMO, Zeta CMO provides certain financial planning and administrative functions for Zeta Schools NYC, including annual budgeting, periodic financial reporting, and annual audit support.

Each school operated by Zeta Schools NYC will have its own budget, which will be approved by the Board, taking into account factors such as student population size and other site-specific financial elements.

Each proposed schools' budget will be developed by the Zeta CMO Chief Executive Officer and the Zeta CMO financial team, in partnership with the Managing Director/Principal and Operations Director of each school. Zeta CMO's financial team and CEO will begin by reviewing budgets used for other Zeta schools in similar years of operation (e.g., for each proposed school's first year budget, the first year budgets for Zeta Bronx 1 and Zeta Inwood 1's first years will be reviewed) and, for later years of operation, the budget used by the proposed school in the prior year. These budgets will serve as a baseline, with changes made on an annual, per-school basis to account for school-specific forecasted expenses and any changes to revenue projections (such as adjustments to the State per pupil funding).

After this initial review, Zeta CMO's Chief Executive Officer and financial team will provide the Managing Director/Principal and Operations Director of each school with instruction on how to forecast expenses for the coming year for each school. By involving each Managing Director/Principal and Operations Director, Zeta Schools NYC is able to achieve a more granular budget and can break down each expense category into more specific costs. The budget will be very specific as to give the school Operations team as much direction and insight into how to plan financially, for the upcoming year.

Upon receiving initial instructions, the Managing Director/Principal and Operations Director will seek input from the relevant instructional leads for each school to ensure that the budget plan captures the plans and goals for the upcoming school year.

Once each member of the school administrative team has reviewed and submitted its respective budget, the Managing Director/Principal, Operations Director, Zeta CMO CEO, and Zeta CMO financial team will compile and review the school's budget. After each school's first year, the Operations team will be able to identify any possible holes based on historical reports and strategic projections.

After all revisions have been made and the Zeta CMO CEO and the Managing Directors/Principals have approved the final budgets, each budget is presented to Zeta Schools NYC's Board of Trustees for approval. The Board of Trustees will have an opportunity to review, comment on, and ask questions about the proposed budgets. Each budget is then put to a vote and is deemed final if approved. If it is not approved, the necessary adjustments are made, and the revised budget is resubmitted for approval.

The budget is monitored for accuracy on a monthly basis by comparing actual expenses to the pro-rated budgeted amounts, and each expense line item is scrutinized for large variances. Zeta Schools NYC will monitor the financials with support from Charter Schools Business Management, which specializes in providing bookkeeping and accounting services to non-profit charter schools. This analysis will be presented to the Zeta CMO CEO and the Zeta financial team, who will provide updated information on a periodic basis to the Managing Directors/Principals, Operations Directors, and any other relevant members of the school instructional teams to provide full transparency into each school's financials and empower the schools to make decisions based on accurate spending information. This process not only provides school leadership with frequent feedback on current year performance, but it also allows the Managing Director to budget with greater accuracy in future years. If mid-year modifications to a budget are deemed necessary, the Zeta CMO CEO and Zeta CMO financial team will work with the school Managing Director/Principal, Operations Director, and the Board of Trustees to prepare the modified budget and receive Board approval for same.

Below is a sample timeline of events for creating and approving each school's budget:

February 15 – Initial planning between Zeta CMO CEO, Zeta CMO financial team, and school Managing Directors/Principals and Operations Directors to address basic budgeting tactics and “drivers” of the budget, including the number of students and staff, school site, and so forth.

March 1 – Preliminary budgets presented to Instructional Leadership team for review and input. Over the course of the month, the leadership team will work in conjunction with the Managing Director and the Operations Director to ensure that the upcoming year's plans are comprehensively represented in the budget plan.

April 1 – Meeting with Zeta CMO CEO, Zeta CMO financial team, Managing Director/Principal, and Operations Director to determine overall budget accuracy.

April 20 – Budget completed and sent to the Board of Trustees for review.

April 30 – Budget presented to the Board of Trustees for discussion and approval.

May 1 - June 30 - If necessary, any budget adjustments made based on Board feedback and the budget resubmitted to the Board for discussion and approval.

### **(c) Fiscal Audits**

Zeta Schools NYC intends to provide its Board of Trustees, authorizers, and the general public with a clear and accurate portrayal of the financial health of each school operated.

The day-to-day financial operations of Zeta Schools NYC and each of its schools will be managed by the Zeta CMO financial team in partnership with Charter Schools Business Management. Charter Schools Business Management will provide the following services to the School:

- Accounts Payable
- Payroll Processing
- Accounts Receivable/Revenue Accounting
- Month-End Closeout
- Audit Management and Support

The Zeta Schools NYC Board of Trustees will approve the individual charter school budgets. If expenditures at a particular charter school governed by Zeta Schools NYC are projected to significantly exceed the approved annual budget at any time during the school year, the Board of Trustees will be consulted regarding financial decisions during the remainder of the year.

Zeta CMO and Zeta Schools NYC work with the accounting firm PKF O'Connor Davies to perform regular audits of each entity. At the end of each fiscal year, a separate audited Statement of Financial Activities, Statement of Financial Position, and Statement of Cash Flows will be prepared for each charter school. Such individual school audits will include corresponding depreciation and fixed asset schedules, and single federal audits (when applicable) for each charter. These financial statements will be prepared and presented in accordance with Generally Accepted Accounting Principles as well as the standards as set forth in the NY State Education Department's Audit Guide (published and revised annually). These statements will further be prepared in accordance with generally accepted auditing standards in

the United States and Government Auditing Standards, issued by the Comptroller General of the United States. PKF O'Connor Davies, or such other external auditing firm engaged by Zeta Schools NYC in the future, will also report on each school's internal controls relating to financial reporting and compliance with relevant laws, regulations, contracts, and grants. In conjunction with Charter Schools Business Management, PKF O'Connor Davies will prepare and present their findings to the Board of Trustees as well as to the Zeta CMO CEO and each School's Managing Director/Principal and Operations Director.

Zeta comply with the Assurances Regarding the Provision of Fiscal Audits as set forth in the 2019 SUNY Charter Schools Institute Request for Replication Proposals.

**(d) Dissolution Procedures**

If it is determined that Zeta Schools NYC will dissolve, the Board of Trustees will delegate to the Managing Director/Principal of each school the responsibility to manage the day to day dissolution process and implement the closure plan approved by the Board under the advisement of the Treasurer of the Board, it being understood that the Managing Directors/Principals and Treasurer will not take any final action that would be required by law to be approved by the Board or make any final reports to the State University Trustees, unless such authority is specifically delegated.

Zeta Schools NYC will develop a communication plan for students, families, and staff, which will take into account timing to ensure that students are able to take advantage of other available school options. As part of this plan, Zeta Schools NYC will work closely with appropriate representatives of the CSD of each school and the DOE to develop and implement a dissolution plan that will govern the process of transferring students, student records, and testing materials. Initially, a list of students attending each school will be sent to the DOE. Each school will coordinate any planned or voluntary dissolution with the CSD to facilitate reintegration of its students and their records and testing materials, and will provide the district with a minimum notice of 120 days for any voluntary dissolution. Zeta Schools NYC will also provide the SUNY Charter Schools Institute with parent names and addresses of all students enrolled in its schools, to enable the Institute to communicate directly with families regarding the processes as necessary.

Prior to dissolution, each school will conduct a series of meetings for parents, including public meetings, to provide information about the dissolution and to support them in making decisions regarding the selection of educational programs for their children. Representatives of each school will also meet one-on-one with each enrolled student's family to ensure that all parents are aware of their options regarding the educational services for their child in New York City public schools, charter schools, and nonpublic schools. In addition, Zeta Schools NYC will make a copy of each student's records and testing materials available to their parent or legal guardian.

The dissolution plan will provide that all property that each school has leased, borrowed, or contracted for use will be returned. The return of such property will conform with contractual prearrangement, where applicable, or will be done with reasonable promptness. All remaining assets of each school, if any after payment of all debts, will be transferred to other charter schools within New York City.

Each school's Managing Director, along with the Chief Executive Officer, will work with SUNY to determine the appropriate timeline for dissolution, and will oversee the appropriate transfer of students, assets, etc. as needed.

For each new school, Zeta Schools NYC will establish an escrow account of \$25,000 per year until the school has reached a reserve balance of \$75,000. This cash reserve will be used to pay for legal and audit expenses that would be associated with dissolution of the schools.

In addition to the above procedures, Zeta will comply with any other terms or requirements of its Charter Agreement with the SUNY Board of Trustees, as well as the Assurances Regarding Dissolution as set forth in the 2019 SUNY Charter Schools Institute Request for Replication Proposals.



**GENERAL INSTRUCTIONS FOR 2019 NEW SCHOOL PROPOSAL  
BUDGETS AND CASH FLOWS**

**TAB COLORS**

**1- GRAY tabs contain the Instructions and the Funding by Districts Table.**

<a href="#">Instructions</a>	- Provides description of tabs and input requirements.
<a href="#">Funding by District</a>	- Reference table with Per Pupil Revenue for current year.

**2- BLUE tabs require input of information.**

<a href="#">1) School Information</a>	- Enter school name, contact information and planned dates for proposed budgets.
<a href="#">2) Enrollment Chart</a>	- Enter enrollment information on this tab to be automatically populated throughout workbook.
<a href="#">3) Staffing Plan</a>	- Enter staffing plan information on this tab to be automatically populated throughout workbook.
<a href="#">4) Pre-Opening Period Budget</a>	- Enter "description of assumptions" for the Pre-Opening Budget on this tab only; the numbers are automatically populated using input from tab 5 or tab 6.
<a href="#">5) Pre-OP Cash Flow 6-Month</a>	- Enter Pre-Opening Cash Flow information on this tab only if opening in the year following the application submission with a 6-month preopening period.
<a href="#">6) Pre-OP Cash Flow 1-Year</a>	- Enter Pre-Opening Cash Flow information on this tab only if opening in the second year following the application submission with a 1-year preopening period.
<a href="#">7) Year 1 Budget &amp; Assumptions</a>	- Enter Year-1 Budget information that includes Program and Support Services detail.
<a href="#">8) Year 1 Cash Flow</a>	- Enter Year-1 Budget information that includes monthly cashflow detail.
<a href="#">9) 5 YR Budget &amp; Cash Flow Adj</a>	- Enter Budget information for Years 2-5 including Per Pupil Rate increase percentages and Revenue and Expense projections.
<a href="#">10) Fiscal Impact</a>	- "Fiscal Impact" report showing effect on primary school district from which the majority of students are enrolled.

**CELL COLORS & GUIDANCE COMMENTS**

-  = Enter information into the light BLUE shaded cells.
-  = Cells labeled in ORANGE containe guidance regarding the input of information.
-  = Cells containing RED triangles in the upper right corner contain "guidance comments" on that particular line item. Please "mouse-over" the triangle to reveal each comment.



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

**2019 New School Proposal  
Budget(s) & Cash Flow(s) Template**

**Zeta Charter School - New York City 3**

**Contact Name:** Emily A. Kim  
**Contact Title:** CEO, Zeta Charter Schools  
**Contact Email:** [REDACTED]  
**Contact Phone:** [REDACTED]

**First Academic Year:** 2020-21

**Pre-Opening Period:** July 1, 2019 - June 30, 2020

**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.