Department of Education
Dennis M. Walcott, Chancellor



# EQUALITY CHARTER SCHOOL
# ANNUAL COMPREHENSIVE REVIEW REPORT

## 2012-2013 SCHOOL YEAR

# Part 1: School Overview & History

## School Overview and History

Equality Charter School (Equality) is a middle school serving approximately 235 students[1] in grades 6-8 during the 2012-13 school year. It opened in 2009-2010, and is under the terms of its first charter. The school's projected full grade span upon renewal and approval is 6-12, which it is expected to reach in 2017-2018.[2] The school is located in public[3] facilities at 4140 Hutchinson River Parkway East in the Bronx within CSD 11.[4]

The table below details the school's performance on the NYC DOE Progress Report.[5]

**Equality Charter School Progress Report Results**

| Progress Report Grade | 2008-09 | 2009-10 | 2010-11 | 2011-12 |
|---|---|---|---|---|
| Overall | | | C | A |
| Student Progress | | | C | A |
| Student Performance | | | C | A |
| School Environment | | | A | A |
| Closing Achievement Gap Points | | | 1.5 | 4.8 |

Equality's primary intake grade is grade 6, but it also enrolls new students in grades 7 and 8, depending on availability. There were 380 students on the waitlist after the Spring 2012 lottery.[6]

The average attendance rate for the 2012-13 school year to date is 95.3%.[7]

On the 2011-12 NYC DOE School Survey, the school scored Well Above Average compared to other citywide middle schools on the Academic Expectations, Communication and Engagement sections of the survey and Above Average on the Safety & Respect section. The school's constituent participation on the School Survey in 2011-12 was 81.0% of the school's parents, 89.0% of the school's teachers, and 100.0% of the school's eligible students responded to the survey.[8]

The school's current principal, Caitlin Franco, has held this position since the 2010-11 school year after having been one of the school's founding teachers.

[1] Enrollment based on ATS data from 3/8/13.
[2] NYC DOE internal data.
[3] NYC DOE internal data.
[4] NYC DOE Location Code Generating System database.
[5] NYC DOE Progress Report – http://schools.nyc.gov/progressreport
[6] Self-reported information from school-submitted Data Collection Form.
[7] Self-reported information from school-submitted Data Collection Form.
[8] NYC School Survey – http://schools.nyc.gov/survey

# Part 2: Annual Review Process Overview

## Rating Framework

The New York City Department of Education (NYC DOE) Charter Schools Accountability & Support Team (CSAS) performs a comprehensive review of each NYC DOE-authorized charter school to investigate three primary questions: is the school an academic success; is the school a fiscally sound, viable organization; and is the school in compliance with its charter and all applicable laws and regulations? To ascertain matters of sustainability and strategic planning, CSAS inquires about the school's plans for its next charter term.

This review is conducted by analyzing student performance data and collecting and evaluating school-submitted documents during the 2012-2013 school year. The report outlines evidence found during this review.

As per the school's monitoring plan, CSAS may also conduct a visit to a school. Visits may focus on academic outcomes, governance, organizational structure, operational compliance, fiscal sustainability or any combination of these as necessary.

In addition, a school's charter goals are reviewed. The progress that a school has made towards achieving its goals at this particular point during its charter period is noted. However, as this is an interim review before the end of the charter term, progress towards goals is not used as part of this evaluation.

## Essential Questions

***Is the school an academic success?***
To assess whether a school is an academic success, CSAS considers performance measures, including, but not limited to the following:

- Overall NYC DOE Progress Report score,
- New York State ELA and Math results and/or New York State Regents exams,
- ELA and Math proficiency compared to the district for elementary and middle schools, and graduation rates compared to the city for high schools,
- New York State Alternate Assessment (NYSAA) or other approved alternate assessments, and
- Performance data pertaining to college and career readiness.

Academic success is rated as **Demonstrated, Partially Demonstrated, or Not Yet Demonstrated.** If a school does not yet have a NYC DOE Progress Report, it is rated as Not Yet Demonstrated.

***Is the school a fiscally sound, viable organization?***
To assess whether a school is a fiscally sound, viable organization, CSAS focuses on three areas: Governance Structure & Organizational Design, School Climate & Community Engagement, and Financial Health. This includes an analysis of the school's audited financial statements, based on the NACSA (National Association of Charter School Authorizers) Financial Framework[9].

CSAS also considers a variety of supporting materials and data, including but not limited to the following:

- Board of Trustee bylaws,
- Board of Trustee meeting minutes,
- Annual Reports submitted by schools to New York State Education Department (NYSED),
- NYC DOE School Survey,
- Data collection sheets provided by schools,

[9] http://www.qualitycharters.org/assets/files/images/stories/pdfs/publications/Performance_Framework_Fall_2012_Draft.pdf, page 38-59

- Student, staff, and Board turnover,
- Authorized enrollment numbers, and
- Annual financial audits.

A school's Governance Structure & Organizational Design and Climate & Community Engagement are rated as **Developed, Partially Developed,** or **Not Yet Developed.** A school's Financial Health is rated to indicate whether there are concerns about the near-term financial obligations and the financial sustainability of the school.

***Is the school compliant with its charter and all applicable law and regulations?***
As it pertains to compliance, CSAS identifies areas of compliance and incompliance with all applicable laws and regulations.

## Staff Representatives

The following staff representatives participated in the review of the school's documents as detailed above:

- Richard Larios, DOE
- Gabrielle Mosquera, DOE
- Kamilah O'Brien, DOE

# Part 3: Findings

## Summary of Findings

Based on CSAS review, the following findings are made. To date, the school:

- has partially demonstrated academic achievement and progress (pp. 6-8).
- has a developed governance structure and organizational design (p. 9).
- has developed a stable school culture (p. 9).
- is in a strong position to meet near-term financial obligations and is financially sustainable based on current practices (p. 10).
- is in compliance with its charter laws and regulations (p. 11).
- has plans to expand to high school grades in its next charter term (p.12).

This review consisted of a desk audit document review, but not a school visit in 2012-13.

## Essential Question 1: Is the School an Academic Success?

To date, Equality has partially demonstrated academic achievement and progress.

- In 2011-12, 29.9% of its students in its tested grades (6-8) scored at Level 3 or 4 on the NYS ELA assessment, and 69.6% of its students scored at Level 3 or 4 in Math.
- The school's overall 2011-12 proficiency rates in Math were well above its district of location, CSD 11, but below the CSD in ELA. In 2011-12 the school outperformed its district by 21.7 percentage points in Math but was 4.8 percentage points behind CSD 11 in ELA.
- The school received an Overall Grade of A on its 2011-12 Progress Report, following a C on its previous year's Progress Report. (See page 2.)
- It also received an A in Student Progress in 2011-12, after a C the previous year.
- The school earned a grade of A for Performance on its 2011-12 Progress Report, after a C on its previous Progress Report.
- Overall proficiency scores increased at Equality by 6.4 percentage points in ELA and by 18.7 percentage points in Math proficiency from the prior year: 23.5% to 29.9% in ELA and 50.9% 69.6% in Math.
- Equality received 4.8 Closing the Achievement Gap points on its 2011-12 Middle School Progress Report.

Progress Toward Attainment of Academic Goals[10]

- The school, according to its 2011-12 Annual Report to New York State Education Department (NYSED), met 2 of 8 of its charter-identified Progress Toward Attainment of Academic Goals that applied to it middle school grades.

Based on document review, the following is also noted:

- According to the school's Annual Report to NYSED, in 2011-12, 29 8$^{th}$ graders took the Integrated Algebra Regents exam with 100% receiving a passing grade on the exam.
- Based on Terra Nova results, the school reported that in 2011-12 made on average more than a year's worth of progress in both Reading and Math, as measured by Grade Level Equivalent growth.

[10] Goal analysis is considered a neutral point for the purposes of this evaluation.

| The Equality Charter School<br>Percent of Students Scoring at or above Level 3 - Whole School | | | | |
|---|---|---|---|---|
| **ELA** | **2009** | **2010** | **2011** | **2012** |
| Equality Charter School | | | 23.5 | 29.9 |
| CSD 11* | | | 30.0 | 34.7 |
| **Math** | **2009** | **2010** | **2011** | **2012** |
| Equality Charter School | | | 50.9 | 69.6 |
| CSD 11* | | | 42.2 | 47.9 |

*CSD data represents only common testing grades, for all years presented

**Percent of Students Scoring at or above Level 3 - By Grade**

Grade 6

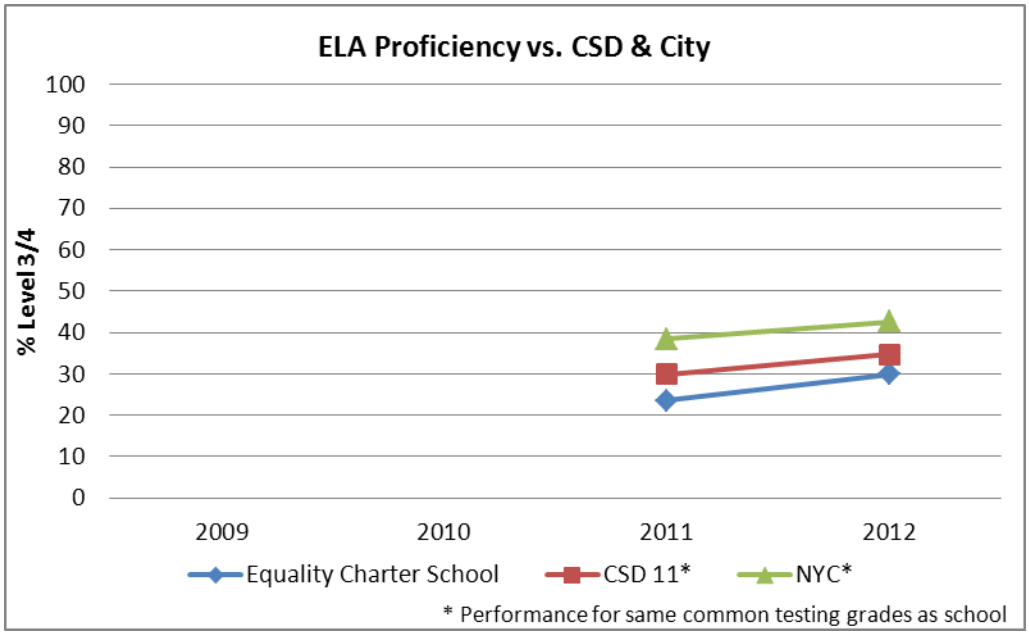
| **ELA** | **2009** | **2010** | **2011** | **2012** |
|---|---|---|---|---|
| Equality Charter School | | | 24.3 | 28.6 |
| CSD 11* | | | 37.2 | 37.9 |
| **Math** | **2009** | **2010** | **2011** | **2012** |
| Equality Charter School | | | 45.3 | 59.7 |
| CSD 11* | | | 45.3 | 50.9 |

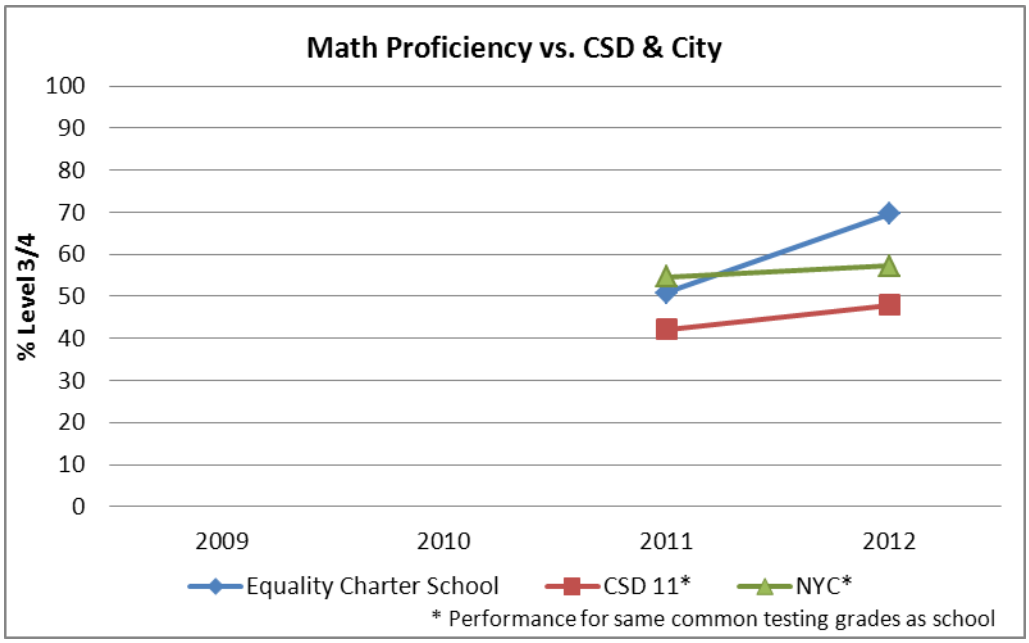
Grade 7

| **ELA** | **2009** | **2010** | **2011** | **2012** |
|---|---|---|---|---|
| Equality Charter School | | | 25.0 | 29.9 |
| CSD 11* | | | 28.1 | 35.5 |
| **Math** | **2009** | **2010** | **2011** | **2012** |
| Equality Charter School | | | 55.6 | 67.1 |
| CSD 11* | | | 45.3 | 48.0 |

Grade 8

| **ELA** | **2009** | **2010** | **2011** | **2012** |
|---|---|---|---|---|
| Equality Charter School | | | 21.1 | 31.2 |
| CSD 11* | | | 24.6 | 30.7 |
| **Math** | **2009** | **2010** | **2011** | **2012** |
| Equality Charter School | | | 52.1 | 81.8 |
| CSD 11* | | | 35.9 | 44.8 |


ELA Proficiency vs. CSD & City
% Level 3/4
100
90
80
70
60
50
40
30
20
10
0
2009
2010
2011
2012
Equality Charter School
CSD 11*
NYC*
* Performance for same common testing grades as school


Math Proficiency vs. CSD & City
% Level 3/4
100
90
80
70
60
50
40
30
20
10
0
2009
2010
2011
2012
Equality Charter School
CSD 11*
NYC*
* Performance for same common testing grades as school

# Essential Question 2: Is the School a Fiscally Sound, Viable Organization?

## Governance Structure & Organizational Design

To date, the school's Board of Trustees has a developed governance structure and organizational design.

- The Board has nine members, with eight voting members. Its membership has been stable, with almost no attrition (only one member) in 2011-12 and 2012-13, and new members added during that time to improve capacity. As recorded in meeting minutes, Board votes consistently demonstrate a quorum.
- As evidenced by the Board calendar and the meeting minutes posted to the school's website, the Board holds 6 regular meetings, 5 Governance Committee meetings, 3 Academic Accountability meetings, monthly Finance Committee meetings, and Liaison and Development Committee meetings as needed.
- The committees outlined in the Board's bylaws are active, as recorded in meeting minutes.
- The officer positions outlined in the Board's bylaws are filled, as recorded in meeting minutes.
- There are clear lines of accountability between the Board, school leadership, and school staff as evidenced by the school's organizational chart and school leadership's regular updates on academic, financial, and operation performance to the Board and its committees, as recorded in Board meeting minutes.
- The Board posts meeting and committee meeting minutes on the school's website for public review.

Based on monitoring and document review, the following was noted:

- The Board has contracted with the Nonprofit Support Center to help the school strategically plan for its prospective high school rollout.

## School Climate & Community Engagement

The school has developed a stable school culture.

- Caitlin Franco, a school founder, has been the school's principal since the spring of 2011 and has had a stable leadership team since the 2011-12 school year.
- According to the school's ACR Data Collection Form, 11 of 52 instructional staff from the end of the 2011-12 school year did not return or were asked not to return, for an instructional staff attrition rate of 21%.
- According to the school's ACR Data Collection Form, only 3 students of approximately 233 enrolled students at the end of the year did not return to the school in 2012-13.
- Average daily attendance for 2012-13, as of submission of the school's ACR Data Collection Form, is 95.3%.
- On its 2011-12 NYC DOE School Survey, Equality, compared to middle schools citywide, earned Well Above Average satisfaction results for Academic Expectations, Communication and Engagement, with Above Average results for the Safety & Respect section.
- Equality's School Survey participation results were above citywide averages for all three constituencies, Parents (81% to 53%), Teachers (89% to 82%) and Students (100% to 82%).

Progress Toward Attainment of Accountability Goals[11]

- Equality met both its participation and satisfaction charter goals in 2011-12, as reported in its Annual Report to NYSED, for Parents and Teachers. For Students it met the participation goal and three of four satisfaction targets (all but Communication).
- According to the school's 2011-12 Annual Report to NYSED, the average daily student attendance rate was 95.8%, which represented a met charter school goal. (See above for 2012-13 attendance to date.)

[11] Goal analysis is considered a neutral point and is not used as part of the evaluation.

## Financial Health

Overall, the school is in a strong position to meet near-term financial obligations and is financially sustainable based on current practices.

- The school is in a strong position to meet all of its liabilities in the next 12 months.
- The school is in a position to cover all its future expenses for the foreseeable future without an infusion of cash.
- The school is meeting its enrollment target, indicating a stable budget.
- The school does not have any outstanding debt obligations.
- The school is operating at a surplus of almost 20% which it has built over the past three years.
- The school has a low debt-to-asset ratio that has been on a decline over the past three years.
- The school has maintained a positive cash flow over the past three years.
- The school has minimal debt and is in a strong position to meet its obligations.
- The school has a fully funded escrow account.
- The school received a clean audit with no material findings on its most recent audited financial statements.

## Essential Question 3: Compliance with Charter and All Applicable Laws and Regulations

To date, the school is in compliance with its charter and applicable laws and regulations.

- To date, the Board is in compliance with:
  - The Board's membership size falls within the range outlined in the school's charter and in the Board's bylaws.
  - The Board has held the number of board meetings outlined in its charter and required by state charter law.
  - All Board members have submitted conflict of interest and financial disclosure forms and do not demonstrate conflicts of interest.

- To date, the school is in compliance with:
  - The school has provided timely submissions of accountability reporting documents to the CSAS team.
  - The school has submitted required documentation for staff fingerprint clearance and all staff members have appropriate fingerprint clearance.
  - The school has submitted required documentation for teacher certification and is complaint with state requirements for teacher certification.
  - The school has the required number of staff with AED-CPR certification.
  - The school has submitted appropriate insurance documents.
  - The school submitted its required immunization documentation and is in compliance with Department of Health standards of 98.8% for immunization.

## Essential Question 4: What are the School's Plans for the Next Charter Term?

As reported by the school's leadership, the following was noted:

- If approved and renewed, the school plans to expand to high school grades in its next charter term.
    - The school is contracting with the Nonprofit Support Center to help with the strategic and operational plans for its prospective high school roll-out. Aspects of this planning support include, but are not limited to: identifying organizational goals and objectives; conducting financial projections; researching NY state requirements; and conducting school visits.

# Part 4: Essential Questions and Accountability Framework

### The CSAS Accountability Framework

To help NYC DOE authorized charter schools better understand what we mean by success for charter schools, the NYC DOE's Charter Schools Accountability and Support (CSAS) has developed an Accountability Framework build around four essential questions for charter school renewal:

1. Is the school an academic success?
2. Is the school a fiscally sound, viable organization?
3. Is the school compliant with its charter and all applicable law and regulations?
4. What are the school's plans for its next charter term?

| **1. Is the School an Academic Success?** |
|---|
| **1a. High Academic Attainment and Improvement** |
| Schools that are academic successes have many of the characteristics below:<br>• Meet absolute performance goals<br>• Meet student progress goals<br>• Are closing the achievement gap for at risk students, including special needs and ELL students<br>• Are surpassing performance of DOE identified peer-schools<br>• Are surpassing performance district and city proficiency or better averages<br>• Are meeting other rigorous academic and non-academic goals as stated in school's charter |
| Evidence for success might include, but not be limited to, the following depending on school configurations:<br>• Grades 3-8 NYS ELA Results (absolute performance, individual student progress, comparative performance to similar schools, home district or city averages, progress for at-risk populations)<br>• Grades 3-8 NYS Math Results (absolute performance, individual student progress, comparative performance to similar schools, home district or city averages, progress for at-risk populations)<br>• Grades 4 and 8 NYS Science Results (absolute performance, individual student progress, comparative performance to similar schools, home district or city averages, progress for at-risk populations)<br>• Grades 8-12 NYS Regent Exam Results<br>• When applicable, NYSAA or other approved alternate assessments results<br>• HS 4- and 6-Year Graduation Rates (absolute and progress, overall, for at-risk student populations)<br>• Grades 8-12 College Readiness Credit Accumulation<br>• Percentage of Students Applying to and Being Admitted to College<br>• Percentage of Students Taking AP Courses and/or Percentage of Students Passing AP Courses<br>• Results on state accountability measures<br>• Charter School Academic and Non-Academic Goals<br>• NYC Progress Reports |
| **1b. Mission and Academic Goals** |
| Schools with successful missions and goals have many of the characteristics below:<br>• Have an animating mission statement that staff, students and community embrace<br>• Set ambitious academic and non-academic goals that entire school community knows and embraces<br>• Have processes for regular monitoring and reporting on progress toward school goals<br>• Have processes for adjusting strategies in support of goals as appropriate in response to monitoring data |

Evidence for successful missions and goals might include, but not be limited to, the following:

- Mission statement, charter, external documents (parent and family handbooks, school website, etc.)
- Annual reports, school improvement plans, leadership board reports
- Board agendas and minutes
- Parent, student, and teacher satisfaction surveys
- Participation at parent-teacher conferences, school advocacy events, participation in academic goal related programs

**1c. Responsive Education Program**

Schools with successful education programs have many of the characteristics below:

- Are self-reflective and examine practice based on outcomes against goals
- Have well-thought out curricular programs that are aligned with NYS learning outcomes as described by state standards and the new Common Core Curriculum.
- Use instructional models and resources consistent with school mission and that are flexible in addressing the needs of all learners
- Have defined strategies that they can measure and monitor for closing the achievement gap
- Offer defined opportunities for remediation and acceleration
- Implement a coherent and effective interim assessment system (e.g., use of formative, interim, and summative assessment data) for monitoring progress, predicting performance, and adjusting instruction
- Have an effective process for supporting improved classroom instruction, including frequent observation and feedback
- Have effective strategies and quality instructional programs for addressing students with special needs and ELLs
- Use a defined process for evaluating curricular tasks, programs and resources for effectiveness and fit with school mission and goals

Evidence for successful education programs, in addition to positive results, may include, but not be limited to, many of the following:

- Instructional planning documents (alignments, scope and sequences, curriculum maps, unit and lesson plans, etc)
- Student/teacher schedules
- Classroom observations
- Student Intervention / Response to Intervention program description and resources
- Interim assessment results
- Student and teacher portfolios
- Data findings; adjusted lesson plans
- Self-assessment documentation
- Professional development plans and resources

**1d. Learning Environment**

Schools with successful learning environments have many of the characteristics below:

- Have a strong culture that connects high academic and behavioral expectations in a way that motivates students to give their best effort academically and socially
- Use a comprehensive approach to student management, including positive behavioral expectations and a clear discipline policy to build and sustain a safe, orderly, and supportive classroom environment
- Provide for safe, respectful, efficient transitions, hallways, cafeteria, yard, etc.
- Have classrooms were academic risk-taking and student participation is encouraged and supported
- Provide opportunities for students to actively engage in their own learning and in the life of the school

| |
|---|
| • Have a formal or informal character education, social development, or citizenship program that provides opportunities to develop as individuals and citizens |
| Evidence for successful learning environments may include, but not be limited to, many of the following:<br>• School mission and articulated values<br>• Student management plan (code of conduct, school values, discipline policy, positive incentive system, etc.)<br>• Student attendance and retention rates<br>• Student discipline data<br>• DOE School Survey student results<br>• DOE School Survey parent and teacher safety and respect results<br>• Self-administered satisfaction survey results<br>• Leadership, staff, and, if appropriate, student interviews<br>• Classroom observations<br>• Scheduled student engagement opportunities (e.g., student advisory, internships, student government, student led conferences, peer tutoring, peer mediation, etc.) |

| **2. Is the School a Fiscally Sound, Viable Organization?** |
|---|
| **2a. Governance Structure and Organizational Design** |
| Schools with successful governance and organizational design structures have many of the characteristics below:<br>• Operate with a clearly articulated governance structure, compliant with its charter and all applicable laws and regulations<br>• Have a capable Board of Trustees with appropriate blend of skills and experiences to provide oversight and strategic direction to fulfill the mission and goals of its charter<br>• Have a Board that is fully compliant with all applicable laws and regulations, particularly but not limited to open-meeting laws and conflict of interest regulations<br>• Have developed a succession plan for board and school leadership, consistent with the charter and Board by-laws, to ensure continuity of direction and leadership over time and despite circumstance<br>• Implements a school leadership structure that is aligned with charter and that is sufficient to fulfill school's mission and achieve its accountability goals; it also has clear lines of accountability for leadership roles, accountability to Board, and, if applicable, relationship with a charter management organization<br>• Have timely and appropriate access to legal counsel<br>• Implemented a process for monitoring and evaluating the effectiveness of the school's organization and leadership structure<br>• Have instructional leadership staffing and support structures that holds staff accountable for student learning outcomes and provide regular feedback on instruction to teachers |
| Evidence for school governance and organizational design may include, but are not limited to, the following:<br>• School charter<br>• Board by-laws, roster, trustee resumes, meeting agenda and minutes<br>• Annual conflict of interest forms<br>• Staff roster, job descriptions, staff handbook, operations manual<br>• School calendar, professional development plan |
| **2b. School Climate and Community Engagement** |

Schools with a sustaining school climate and engaged parent and community support have many of the characteristics below:

- A healthy professional school climate that is collaborative, student centered, and open to parents and community support
- An effective process for recruiting, hiring, supporting, and evaluating leadership and staff
- A flexible, data-driven approach to professional development for all staff
- An effective way of measuring and monitoring core constituency satisfaction (parent, staff, and, when age appropriate, student), including the DOE School Survey
- Effective home-school communication practices to ensure meaningful parent involvement in the learning of their children
- Strong community-based partnerships and advocacy for the school

Evidence for school climate and community engagement may include, but not be limited to, the following:

- DOE School Survey satisfaction parent, teacher, and, if appropriate student results
- Student retention and wait list data
- Staff retention data
- Leadership, staff, parent, student interviews
- Student and staff attendance rates
- Parent attendance at parent-teacher conferences
- Parent association meeting calendar and minutes
- Community partnerships and sponsored programs

**2c. Financial and Operational Health**

Schools that are responsible stewards of public funds and effective, sustaining organizations have many of the characteristics below:

- Consistently meet its student enrollment and retention targets
- Annual budgets that meets all short- and long-term financial responsibilities with available revenues
- School leadership and Board that oversee financial and operational responsibilities in a manner that keeps the school's mission and academic goals central to decision-making
- Boards and school leadership that maintain effective internal controls of finances to ensure integrity of financial management and a proactive approach to mitigating risk
- Consistently clean financial audits
- If applicable, strong, accountable partnerships with management organizations and other partners and significant vendors to support delivery of chartered school design and academic program
- A safe, clean and appropriately resourced educational facility with all appropriate services specified in charter and mandated by appropriate law and regulations

Evidence for a financially sound, viable organization may include, but not be limited to, the following:

- School budget, P&Ls, and monthly/quarterly cash-flow reports
- Appropriate insurance documents
- Required facility documents (lease, certificate of occupancy, fire and safety inspections, etc.)
- Financial audits
- Financial leader(s) resume and accountability documents
- Operational policies and procedures
- Operational org chart
- Secure storage areas for student and staff records
- Policies/protocols for maintaining secure records
- School safety plan

| 3. Is the School in Compliance with its Charter and All Applicable Law and Regulations? |
|---|
| **3a. Approved Charter and Agreement** |
| Schools in substantial compliance with their charter and agreement have:<br>• Implemented the key features of their charter as described in the original charter and as modified in approved revisions to their charter, including but not limited to mission, academic program, school organization, grade configuration, enrollment, goals, etc.<br>• Ensure that update-to-date charter is publicly available to staff, parents, and school community<br>• Implemented comprehensive academic, behavioral, oversight, management, and operational policies and procedures that are substantially aligned with the charter and the school's stated mission and vision |
| Evidence for a school's compliance with the terms of its charter and charter agreement may include, but not be limited to, the following:<br>• Authorized charter and signed agreement<br>• Charter revision request approval and documentation<br>• School mission<br>• School policies and procedures<br>• Site visits<br>• Board meetings, agendas and minutes<br>• Leadership/board interviews |
| **3b. Applicable Federal and State Law** |
| Schools in substantial compliance with federal and state law have:<br>• Met all legal requirements for Title I and IDEA regulations and reporting<br>• Comparable enrollment of FRL, ELL and Special Education students to those of their district of location *or* are making documented good faith efforts to reach comparable percentages<br>• Implemented school policies related to student discipline and promotion and retention that are fully compliant with laws and regulations related to students with disabilities and due process regulations<br>• Conducted independently verified fair and open lottery and manage with integrity enrollment process and annual waiting lists<br>• Employed instructional staff with appropriate security clearances and certification requirements |
| Evidence for compliance with applicable federal and state law may include, but not be limited to, the following:<br>• School reporting documents<br>• School's Annual Report<br>• Student recruitment plan and resources<br>• Student management policies and promotion and retention policies<br>• Student discipline records<br>• Lottery policy, resources, and records; enrollment procedures and records<br>• Staff roster, fingerprint clearance for all staff, certification status of all instructional staff |
| **3c. Applicable Regulations** |

Schools in substantial compliance with applicable regulations have:

- Safe and secure facilities with no significant compliance concerns with applicable regulations
- Consistently clean annual audits, up-to-date escrow accounts, and have completed all other financial reporting as required
- Boards that meet requirements for size, meeting frequency, public notice, applicable open-meeting and conflict of interest regulations, as well as complying with NYC DOE CSO's requirements for reporting changes in board membership and securing approval for new board members.
- Informed NYCDOE CSO, and where required, received CSO approval for changes in significant partnerships, such as dropping/replacing a management organization
- Effectively engaged parent associations

Evidence for compliance with applicable regulations may include, but not be limited to, the following:

- School or building safety plan; appropriate inspection documents
- Annual audits, escrow accounts, other financial reporting documents
- Board roster, calendar, agenda and minutes, conflict of interest documents, notification of changes/approval of new member request documents
- Charter revision requests, revised or new contracts
- Parent association calendar of meetings, identified officers, parent association agenda and minutes, parent satisfaction survey results
- Interviews

## 4. What Are the School's Plans for its Next Charter Term?

### 4a. School Expansion or Model Replication

In anticipation of a new charter term schools may be considering various growth options: replication, expansion to new grades or increased enrollment or altering their model in some significant way. Successful schools generally have processes for:

- Conducting needs/opportunity assessments
- Forming Board and leadership committees or subcommittees to investigate options, develop action plans, ensure capacity and resources are aligned, etc.
- Engaging school community in articulating charter revisions (or a new charter in cases of replication) to address the proposed growth plans
- Ensuring that the final proposal is ambitious but realistic in its plans
- Creating a well-reasoned and documented prospective for the school's new charter term and, if applicable, a new charter proposal (for replication)

Evidence for likely success in planning for school growth in a new charter term may include, but not be limited to, the following:

- Application Part I: Retroactive Analysis, including performance results and analyses of the current charter term
- Application Part II: Prospective Analysis, including mission, program description, governance, organization, budget, etc. for new term
- Leadership and Board interviews

### 4b. Organizational Sustainability

Successful schools consistently perform despite change. While there is no single path for ensuring sustainability, successful schools often have the following features:

- School anticipates organizational opportunities/needs and plans for resource development (human resource policies for growing your own talent, for example, or fundraising or budget management to take care of anticipated capital needs and to mitigate risks for the unexpected, or board development to bring new talent or specific needs-based expertise to the school)

| |
|---|
| Evidence for organizational sustainability may include, but not be limited to, the following:<br>• Board roster and resumes<br>• Board committees and minutes<br>• School organization chart<br>• Staff rosters<br>• Staff handbook<br>• Leadership and staff interviews<br>• Budget |
| **4c. School or Model Improvements** |
| Successful schools are thoughtful about the continued appropriateness of school design features and elements of their models. They:<br>• Review performance carefully and even if they don't make major changes through expansion or replication, they are careful to adjust elements to ensure continued and improved success.<br>• Develop plans to improve the school learning environment, including improving their facilities to expand program offerings and/or developing new partnerships to further the school's mission. |
| Evidence for successful improvements to a school's program or model may include, but not be limited to, the following:<br>• Application Part I: Retroactive Analysis, including performance results and analyses of the current charter term<br>• Application Part II: Prospective Analysis, including mission, program description, governance, organization, budget, etc. for new term<br>• Leadership and board interviews<br>• MOUs or contracts with partners |