



Charter Schools Accountability and Support
2012-2013

**HARLEM CHILDREN'S ZONE PROMISE ACADEMY I CHARTER SCHOOL
ANNUAL COMPREHENSIVE REVIEW REPORT**

2012-2013 SCHOOL YEAR

Part 1: School Overview & History

School Overview and History

Harlem Children's Zone Promise Academy I Charter School (HCZ Promise I) an elementary, middle, and high school currently serving approximately 915 students¹ in grades K-9 and 12 during the 2012-13 school year. It opened in 2004-2005, and is under the terms of its second charter. The school's projected full grade span upon renewal and approval is K-12, which it is expected to reach in 2015-2016.² The school is located in public and private³ facilities in the Manhattan within CSD 5.⁴ Grades K-3 are located at 175 West 134th Street, Grade 4 at 211 West 129th Street, and Grades 5-9 and 12 at 35 East 125th Street.

The tables below detail the school's performance on the NYC DOE Progress Report.⁵

K-8 Progress Report Results

Progress Report Grade	2008-09	2009-10	2010-11	2011-12
Overall	B	B	C	B
Student Progress	D	C	C	C
Student Performance	A	C	B	B
School Environment	A	A	A	B
Closing the Achievement Gap Points	3	2	3.5	1.7

High School Progress Report Results

Progress Report Grade	2008-09	2009-10	2010-11	2011-12
Overall				A
Student Progress				A
Student Performance				A
School Environment				B
College and Career Readiness				A
Closing the Achievement Gap Points				3.1

Harlem Children's Zone Promise Academy I Charter School primarily enrolls new students in grade K. There were 1,905 students on the waitlist after the Spring 2012 lottery.⁶

The average attendance rate for the 2012-13 school year to date is 94.8%.⁷

On the 2011-12 NYC DOE School Survey, the school scored Above Average on the Communication section and Average on the Academic Expectations, Engagement and Safety & Respect sections in satisfaction compared to citywide results for K-12 schools. Constituent participation on the School Survey in 2011-12 was 69.0% of the school's parents, 97.0% of its teachers, and 90.0% of its eligible students responded to the survey.⁸

HCZ Promise I received a five year renewal in the winter of 2009.

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>

HCZ Promise I has four principals: Tonya White (K-4), Achil Petit (5-6), Shakira Petit (7-8) and Marquitta Speller (9-12). The school has added leaders as the school has grown over time. Ms. White has been principal with HCZ Promise I for all of the current charter term.

The school is given financial, operational, and academic support from its institutional partner, community based organization (CBO) the Harlem Children's Zone (HCZ). Support includes back office support, financial contributions, fundraising, facility use, food services, and other in-kind contributions. School leadership reported that in fiscal year 2012, HCZ Promise I received a total of 5.9 million dollars in financial and in-kind support from HCZ.

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 Framework⁹.

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,

⁹http://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 noncompliance with all applicable laws and regulations.

Staff Representatives

The following staff representatives participated in the review of the school's documents as detailed above and participated in an observation of the April board meeting, and a meeting with HCZ's interim CFO (Chief Financial Officer), Mark Moyer:

- Richard Larios, DOE (Desk Audit, Board & CFO Meeting)
- Gabrielle Mosquera, DOE (Desk Audit)
- Kamilah O'Brien, DOE (Desk Audit & CFO Meeting)
- Sonia Park, DOE (Board meeting observation only)

Part 3: Findings

Summary of Findings

Based on CSAS review, the following findings are made. To date, HCZ Promise I:

- has partially demonstrated academic achievement and progress in its elementary/middle school grades and demonstrated academic achievement and progress in its high school grades (pp. 7-12).
- has a partially developed governance structure and organizational design (p. 13).
- has developed a stable school culture (p. 13).
- is in a strong overall position to meet near-term financial obligations and is financially sustainable based on current practices, which include significant financial and in-kind support from its institutional partner, Harlem Children's Zone (p. 14).
- is in compliance with some applicable laws and regulations, but not others (p. 15).
- plans to continue its expansion to K-12 should its charter be renewed and expansion approved, as well as complete the move of all of its students into private space located in the St. Nicholas Housing Development (p.16).

This review included a desk audit of submitted documents, an observation of a Board meeting, and a meeting with the Harlem Children's Zone interim CFO.

Essential Question 1: Is the School an Academic Success?

To date, HCZ Promise I has partially demonstrated academic achievement and progress in its elementary, middle school grades.

- In 2011-12, the school's performance on NYS assessments demonstrated academic achievement, as it has in previous years, but did not demonstrate progress.

Achievement:

- In 2011-12, 42.8% of its students in its tested grades (3-7) scored at Level 3 or 4 on the NYS ELA assessment and 67.6% of its students scored at Level 3 or 4 on the NYS Math assessment.
- As in past years, the school's overall 2011-12 proficiency scores were substantially above its district of location, CSD 5. In 2011-12 the school outperformed its district by 13.6 percentage points in ELA and by 28.5 percentage points in Math.
- The school earned a grade of B for Performance on its 2011-12 NYC DOE Progress Report. (See page 2.)

Progress:

- Overall proficiency scores increased by 3 percentage points in ELA but with Math proficiency declining by 1.7 percentage points from the prior year: 39.8% to 42.8% in ELA and 69.3% to 67.6% in Math.
- The school received an Overall Grade of B on its 2011-12 Progress Report, with a C in Student Progress. (See page 2.) The school's Student Progress grade has been a C for each of the last three years of its current charter term.
- HCZ Promise I received 1.7 Closing the Achievement Gap points on its 2011-12 NYC DOE Elementary/Middle School Progress Report.

To date, the school has demonstrated academic achievement and progress for its high school grades.

- HCZ Promise I received its first graded NYC DOE High School (HS) Progress Report in 2011-12.
- The school received an Overall Grade of A on its initial HS Progress Report. Ranking in the 99th percentile of high schools receiving a graded Progress Report in 2011-12.
- It also earned an A in Student Progress, which measures credit accumulation by year level for all students and with an additional measure for credit accumulation for its students in the lowest third for each year. The Student Progress grade also measures the school's average completion rate for remaining Regents exams.
- HCZ Promise I earned an A in Student Performance, which measures the school's 4 and 6-year graduation rates and its weighted diploma rate.
- The school also received an A for College and Career Readiness, which includes the school's College Readiness Index (students receiving results on Regents, SAT or ACT, or course standards that allow students to pass out of remedial classes), the school's Post-Secondary Enrollment Rate, and College and Career Readiness Index (for students who reach thresholds for receiving college credit for particular courses, AP (Advanced Placement) or IB (International Baccalaureate), for example, or additional Regents exams, or who receive CTE (Career and Technical Education) or Arts endorsements for their diplomas).
- HCZ Promise I received 3.1 Closing the Achievement Gap points for its HS Progress Report in 2011-12.
- As reported in its 2011-12 Progress Report, HCZ Promise I students took 6 Regent exams (with at least 15 students taking the exam), in English, Math, Science and History with the following test-taker results:
 - Integrated Algebra, 98% passing
 - Algebra 2/Trigonometry, 88% passing
 - Comprehensive English, 96% passing
 - U.S. History, 96% passing
 - Chemistry, 100% passing
 - Physics, 85% passing.
- In addition, 91% of the school's students who took the Comprehensive English Regents met the CUNY-established college ready threshold; on the Integrated Algebra Regents 42% of test-takers

met the college ready threshold and in Algebra 2 / Trigonometry Regents 63% met the college ready threshold.

- According to the school's 2011-12 HS Progress Report, 97% of its students in their third year completed 10+ credits—the school only served 11th and 12th graders that school year so had no first and second year HS students for the Progress Report.

Progress Toward Attainment of Academic Goals¹⁰

- The school, according to its 2011-12 Annual Report to the New York State Education Department (NYSED), met 6 of 15 of its charter-identified Progress Toward Attainment of Academic Goals that applied to its elementary/middle school grades. Three other goal results were mixed and 6 were unmet.
- According to its 2011-12 Annual Report to NYSED, the school met 9 of 13 of its charter-identified Progress Toward Attainment of Academic Goals that applied to its high school grades. One goal result was mixed and 3 were unmet.

In addition, based on submitted documents, the following is noted:

- School leadership for the elementary/middle school grades noted that while they received a C in Student Progress on the 2011-12 NYC DOE Progress Report, they improved their Student Progress point score from 15.9 out of 60 to 28.2 points.
- The school reported a 2011-12 graduation rate of 98% with 100% of its graduates being accepted into college. School leadership also noted that 98% of its current 12th graders are on track to graduate with a Regents diploma.

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

**HCZ Promise Academy I Charter School
Percent of Students Scoring at or above Level 3 - Whole School**

<u>ELA</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
HCZ Promise Academy I CS	72.5	38.4	39.8	42.8
CSD 5*	54.5	29.8	29.7	29.2
<u>Math</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
HCZ Promise Academy I CS	88.1	60.2	69.3	67.6
CSD 5*	75.6	38.5	39.6	39.1

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

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

Grade 3

<u>ELA</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
HCZ Promise Academy I CS	93.5	52.7	57.1	41.3
CSD 5*	56.1	32.9	28.6	30.3
<u>Math</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
HCZ Promise Academy I CS	100.0	55.9	70.2	41.3
CSD 5*	71.0	38.5	42.1	41.3

Grade 4

<u>ELA</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
HCZ Promise Academy I CS	77.1	40.0	36.5	58.5
CSD 5*	53.5	27.8	33.2	29.1
<u>Math</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
HCZ Promise Academy I CS	92.8	64.2	60.8	74.4
CSD 5*	68.6	38.1	43.2	39.6

Grade 5

<u>ELA</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
HCZ Promise Academy I CS	58.6	44.4	41.2	46.6
CSD 5*	62.8	27.2	32.7	30.9
<u>Math</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
HCZ Promise Academy I CS	72.4	63.0	69.1	76.1
CSD 5*	75.6	38.5	42.1	41.3

Grade 6

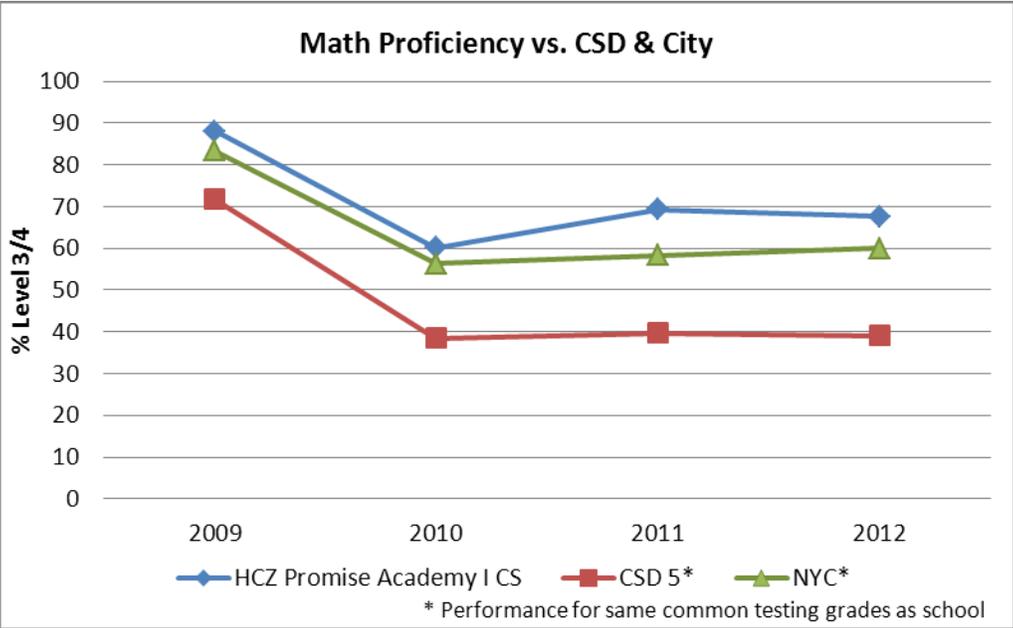
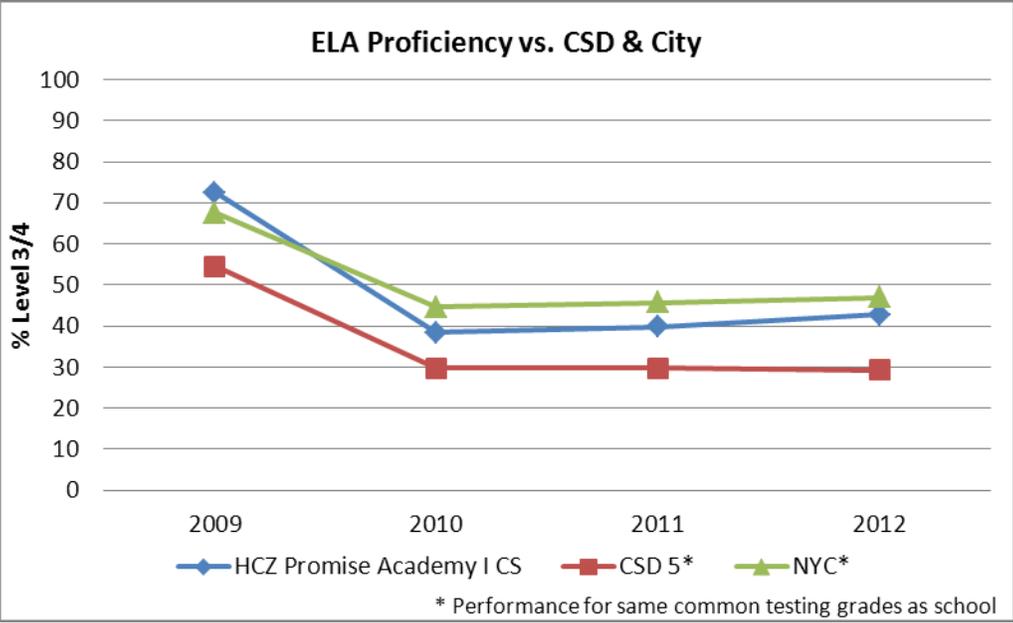
<u>ELA</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
HCZ Promise Academy I CS		15.3	48.2	42.7
CSD 5*		31.2	30.1	31.6
<u>Math</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
HCZ Promise Academy I CS		57.6	79.5	82.3
CSD 5*		38.6	39.7	39.5

Grade 7

<u>ELA</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
HCZ Promise Academy I CS			15.9	38.3
CSD 5*			24.0	26.5
<u>Math</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
HCZ Promise Academy I CS			68.3	63.4
CSD 5*			38.3	37.9

Grade 8

<u>ELA</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
HCZ Promise Academy I CS	57.5			27.1
CSD 5*	45.7			26.8
<u>Math</u>	<u>2009</u>	<u>2010</u>	<u>2011</u>	<u>2012</u>
HCZ Promise Academy I CS	87.3			68.6
CSD 5*	60.9			39.1



2011-2012 High School Regents Performance Results			
Harlem Children's Zone/Promise Academy Charter School			
Regents Exams	Average Score	% Passing	% at college ready threshold
Mathematics			
Integrated Algebra	77	98%	42%
Geometry	.	.	.
Algebra 2/Trig	82	88%	63%
ELA			
English	85	96%	91%
Social Studies			
US History	82	96%	
Global History	.	.	
1Science			
Chemistry	74	100%	
Physics	74	85%	
Earth Science	.	.	
Living Environment	.	.	
Languages			
Languages Other Than English	.	.	

Source: 2011-12 NYC DOE Progress Reports

Note: College-Ready threshold only applies to Math and ELA results; if less than 15 students take a particular Regents exam the results are not included on the PR.

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 partially developed governance structure and organizational design.

- The Board's membership has been stable and Board votes consistently demonstrate a quorum, as indicated by meeting minutes available on the school's website.¹¹
- The Board has 11 Board members, including 3 officers and a parent representative.
- The officer positions outlined in the Board's bylaws are filled, as recorded in meeting minutes.
- The school's leadership team updates the Board on academic progress, with HCZ staff providing updates as well on financial and operational issues, as recorded by meeting minutes.
- The Board minutes and agenda items have been posted for inspection by the public.
- The committees outlined in the Board's bylaws are active, as recorded in meeting minutes.
- There are clear lines of accountability between Board and school leadership, and Board and HCZ and school leadership and staff, as evidenced by school organization chart and performance updates to the Board.
- The Board had not held the required number of Board meetings in calendar year 2012, holding six of nine Board meetings, and from January 2013 to the time of this report, three meetings in the calendar year 2013.

School Climate & Community Engagement

The school has developed a stable school culture.

- In 2012-13, HCZ Promise I has four principals, one each for Lower Elementary, Upper Elementary, Junior High and High School grades, and each was with the school in the same role in the previous year.
- According to the school's ACR Data Collection Form, average daily student attendance to date was 94.5%.
- According to the school's ACR Data Collection Form, 45 students enrolled at the end of last year did not return for the current school year, less than 5% of their enrollment.
- On its 2011-12 NYC DOE School Survey, HCZ Promise I, compared to K-12 schools citywide, earned an Above Average satisfaction results for Communication and Average results on the Academic Expectations, Engagement and Safety & Respect sections.
- The school's survey participation results were above citywide averages for all three constituencies: Parents (69% to 53%), Teachers (97% to 82%) and Students (90% to 82%).
- According to the school's ACR Data Collection Form, 18 of 156 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 11.5%.

Progress Toward Attainment of Accountability Goals¹²

- According to the school's 2011-12 Annual Report to NYSED, student turnover from the end of the previous school year to the start of the current school year was about 5%.
- According to the school's 2011-12 Annual Report to NYSED, the average daily student attendance rate was 94.3%. (See above for 2012-13 attendance to date.)

¹¹ <http://www.hczpromiseacademy.org/>

¹² Goal analysis is considered a neutral point for the purposes of this 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, which include significant financial and in-kind support from its institutional partner, Harlem Children's Zone.

- The school is in an adequate position to meet all of its liabilities in the next 12 months.
- The school is in a position to cover its expenses for the next 30 days without an infusion of cash.
- The school is meeting its debt obligations.
- The school has operated on a surplus of 5% over the past three years; however, 30% of its revenue comes from outside contribution. That revenue supports 27% of its programmatic expenses.
- The school has a high debt-to-asset ratio but it has declined over the past three years.
- The school has maintained a positive cash flow.
- The school is in a strong position to meet its future debt obligations.
- The school has a fully funded escrow account
- The school is under-enrolled by 7%.
- On the school's most recent financial audit, a material weakness and a significant deficiency in the internal control over financial reporting was noted in numerous areas, including but not limited to its accounting staff, accounting for in-kind contributions and year-end accruals.

Based on the interview with HCZ interim CFO Mark Moyer and Director of Student Services Sharleen Morris on June 5, 2013, the following was noted:

- The CBO, which provides back office support to the school, made staffing changes to address the timeliness and quality of its financial audits, hiring the current CFO and a controller with expertise in accounting and audits for large organizations, both in the for-profit and non-profit worlds.
- The finance team has created an Audit Action Plan that is used to report monthly to the HCZ's Audit Committee and the school Board's Finance Committee on its response to audit findings. The team expressed confidence that all findings will be found to be resolved in the next audit.
- A monthly "soft close" to the school's books was implemented this year to improve quality control of financial data.
- Field work for the next audit will begin on August 15, 2013 with financial documents preparation complete and of the required quality for review.
- According to Board leadership, HCZ's financial commitment to the school is strong in both the near- and long-term because the work of the charter schools is essential to the overall goals of the CBO. HCZ is building an endowment designed to ensure the sustainability of its contributions to Promise Academy I and II.

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

The school is in compliance with some applicable laws and regulations, but not others.

- 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.
 - All Board members have submitted conflict of interest and financial disclosure forms and do not demonstrate conflicts of interest.

- The Board is out of compliance with:
 - The Board has not held the required number of Board meetings. The Board's bylaws state that 9 regular meetings shall be held each year in addition to its annual meeting in June. The Board held 5 regular meetings and 1 annual meeting in 2012.

- The School is in compliance with:
 - The school has appropriate staff with AED/CPR certification and has met the NYC Department of Health standard for immunization completion rate of 98.8%.
 - The school has submitted appropriate insurance documentation.
 - The school has submitted appropriate teacher certification documentation, however at the time of the report it was out of compliance with state charter law requirements for teacher certification. This has since been addressed.

- The School is out of compliance with:
 - The school's independent financial audit was submitted several months after the November 1 deadline outlined in NYS charter law.
 - The school submitted several CSAS Accountability Reporting Requirements past their deadlines. Late submitted documents include the staff handbook, lottery policies and procedures, and a copy of the NYSED Annual Report Goals.
 - The school has submitted appropriate documentation for staff fingerprint clearance; however the report indicated that four staff members have not received clearance.

Based on interviews with Board leadership on April 23, 2013, and CBO financial leadership on June 4, 2013, the following was noted:

- Subsequent fingerprint documentation indicated that staff identified as un-fingerprinted had been cleared or were no longer employed at the school.¹³
- Board leadership committed to complying in 2013 with conducting the number of meetings required in its bylaws.
- The Board and CBO's financial leadership have taken steps to ensure that the school's independent financial audits will be submitted on time in 2013.

¹³ Email verification, August 6-7, 2013

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

Based on submitted documents, the following is noted about the school's plans for its next charter term:

- HCZ Promise I's high school currently serves grade 9 and 12. In 2013-14, it will serve grades 9-10 and continue to expand up, upon renewal, in its next charter term, completing the K-12 grade span in 2015-16.
- In 2013-14, HCZ Promise I Academy will move all its grades into a new facility located inside the St. Nicholas Housing Development on 129th Street and Adam Clayton Powell Boulevard.

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:

- Meet absolute performance goals
- Meet student progress goals
- Are closing the achievement gap for at risk students, including special needs and ELL students
- Are surpassing performance of DOE identified peer-schools
- Are surpassing performance district and city proficiency or better averages
- 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:

- 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)
- 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)
- 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)
- Grades 8-12 NYS Regent Exam Results
- When applicable, NYSAA or other approved alternate assessments results
- HS 4- and 6-Year Graduation Rates (absolute and progress, overall, for at-risk student populations)
- Grades 8-12 College Readiness Credit Accumulation
- Percentage of Students Applying to and Being Admitted to College
- Percentage of Students Taking AP Courses and/or Percentage of Students Passing AP Courses
- Results on state accountability measures
- Charter School Academic and Non-Academic Goals
- NYC Progress Reports

1b. Mission and Academic Goals

Schools with successful missions and goals have many of the characteristics below:

- Have an animating mission statement that staff, students and community embrace
- Set ambitious academic and non-academic goals that entire school community knows and embraces
- Have processes for regular monitoring and reporting on progress toward school goals
- 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 where 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:

- School mission and articulated values
- Student management plan (code of conduct, school values, discipline policy, positive incentive system, etc.)
- Student attendance and retention rates
- Student discipline data
- DOE School Survey student results
- DOE School Survey parent and teacher safety and respect results
- Self-administered satisfaction survey results
- Leadership, staff, and, if appropriate, student interviews
- Classroom observations
- 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:

- Operate with a clearly articulated governance structure, compliant with its charter and all applicable laws and regulations
- 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
- 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
- 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
- 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
- Have timely and appropriate access to legal counsel
- Implemented a process for monitoring and evaluating the effectiveness of the school's organization and leadership structure
- 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:

- School charter
- Board by-laws, roster, trustee resumes, meeting agenda and minutes
- Annual conflict of interest forms
- Staff roster, job descriptions, staff handbook, operations manual
- 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:

- 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.
- Ensure that update-to-date charter is publicly available to staff, parents, and school community
- 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:

- Authorized charter and signed agreement
- Charter revision request approval and documentation
- School mission
- School policies and procedures
- Site visits
- Board meetings, agendas and minutes
- Leadership/board interviews

3b. Applicable Federal and State Law

Schools in substantial compliance with federal and state law have:

- Met all legal requirements for Title I and IDEA regulations and reporting
- 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
- 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
- Conducted independently verified fair and open lottery and manage with integrity enrollment process and annual waiting lists
- 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:

- School reporting documents
- School's Annual Report
- Student recruitment plan and resources
- Student management policies and promotion and retention policies
- Student discipline records
- Lottery policy, resources, and records; enrollment procedures and records
- 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:

- Board roster and resumes
- Board committees and minutes
- School organization chart
- Staff rosters
- Staff handbook
- Leadership and staff interviews
- Budget

4c. School or Model Improvements

Successful schools are thoughtful about the continued appropriateness of school design features and elements of their models. They:

- 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.
- 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:

- 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
- MOUs or contracts with partners